Ascending Cadence Gestures: A Historical Survey from the 16th to the Early 19th Century

David Neumeyer
Professor Emeritus of Music
The University of Texas at Austin

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Abstract:

Cadences are formulaic gestures of closure and temporal articulation in music. Although in the minority, rising melodic figures have a long history in cadences in European music of all genres. This essay documents and analyzes characteristic instances of rising cadential lines from the late 16th century through the 1830s.

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Introduction

The topic is cadence gestures in traditional European tonal music.[1] The great majority of these follow an 18th-century formula that favors a stepwise descent from scale degree 3 (or even from scale degrees 5 or 8) to the tonic note. A significant minority, however, follow an upward path from ^5 to ^8, or else plot a mirroring path from ^8 down to ^5 and then back up to ^8. The first substantial numbers of these, as we shall see below, are in the dance collection *Terpsichore* by Michael Praetorius (1612), and an even larger number are in the country dances preserved in John Playford's *[English] Dancing Master* (first edition 1651). These two collections strongly suggest that rising cadential figures were relatively common in dance-performance practice, including improvisation.

By, and shortly after, 1700, however, two overwhelming influences effectively nullified the rising cadence: the stereotyped figures of Italian operatic and instrumental practices (especially in the so-called *cadence galante*) and the adoption of the gavotte as the standard for 2/4 contredanses in the French court.

After largely disappearing in the 18th century, rising lines again show up in dance music in the last decades of the century and in the early 19th century, Schubert providing the earliest prominent examples. Beginning after 1770, as the several waltzing dances became increasingly popular in German-speaking areas of central Europe, the possibility of alternatives to dominant practices arose. By 1820, these were expressed, though in radically different ways, by Beethoven, Schubert, and the Rossini-influenced operas of Adolphe Adam. The floodgates were opened, however, in French comic opera by the early 1830s (Adam, Auber) and rising cadences remained a factor in the opera bouffe and operettas of Offenbach, Leclocq, Johann Strauss, jr., and others before finding a niche in the American musical (notably those by Richard Rodgers).

With the polka's quick rise to universal popularity in the 1840s (link to essay) and with Offenbach's operettas in the 1850s, the change was complete and rising cadence gestures became not just an alternative but a category equal to other cadence types.

I have already written one historical survey of rising cadential gestures, mostly from a Schenkerian standpoint: rising lines. The present essay fills out and complements that first one with a broader range of examples, made possible in part because the selection was not so constrained by abstract Schenkerian background models and their idealist voice leading. The result is a better picture of musical practices over the several centuries separating 16th-century bicinia (two-voice compositions mainly for pedagogical use) from Schubert's waltzes.

Beginning, then, in Part I with some comments on the *cadenza perfetta* or *clausula vera*, I offer one more parsing of the history of rising cadence gestures. The territory covered includes, among others, early 17th century Venice and mid-17th century London and Amsterdam (in Part

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[1] The majority of the text in this introduction is an edited version of posts from my blog *Ascending Cadence Gestures in Tonal Music*: link to blog.

II), and late-18th and early-19th century Vienna (in Parts III & IV). A postscript discusses an early, Schubert-influenced piece by Robert Schumann.

The ultimate chronological goal of this project, as it unfolded originally on my *Ascending Cadence Gestures* blog, was actually the 1830s in Paris rather than in Vienna and is explained in an essay already published on Texas Scholar Works: link. That goal was to reaffirm and document my claim, developed through a series of score searches begun nearly thirty years ago, that Adolphe Adam's one-act comic opera *Le Châlet* (1834) was a milestone in the history of rising cadence gestures and, as such (combined with its popularity), may have been a primary influence on other composers as rising cadence gestures proliferated in operetta, opera bouffe, and eventually the American musical. The authors of the *Grove Music Online* article note, after all, that some of the contributions of early composers for the Opéra-Comique (that is, in the 1830s), including those of Adam, "held the stage in Paris for over 50 years."[2]

Looking ahead, beyond the two survey essays (including this one, of course) and the study of *Le Châlet*, I would like to add, first, some immediate context for my *Le Châlet* narrative through posts on *La Dame Blanche* (1825; by Boieldieu, Adam's mentor); Adam's three-act opera *Le Postillon de Lonjumeau* (1836); and Donizetti's *La fille du régiment* (1840). All three of these operas just named were also produced at the Opéra-Comique and were very successful. Some background for *La fille*—and more comparison with *Le Châlet*—will come from a study of Donizetti's *Betly* (Naples, 1836; two-act version 1837), which uses the same Goethe Singspiel as its source.

Eventually, I intend to produce a series of essays on 19th century operas and operettas that make substantive use of rising cadence gestures, especially operettas by Offenbach, Lecocq, and Johann Strauss, jr.

I would gather these operatic uses of rising cadence figures under the heading of "theatrics." Another use might be called "transcendental," and so far as I can tell at the moment it seems to be largely confined to Beethoven, though surely there must be other examples, given Beethoven's enormous influence on concert music in the later 19th century. The results of a search might form still another essay down the road.

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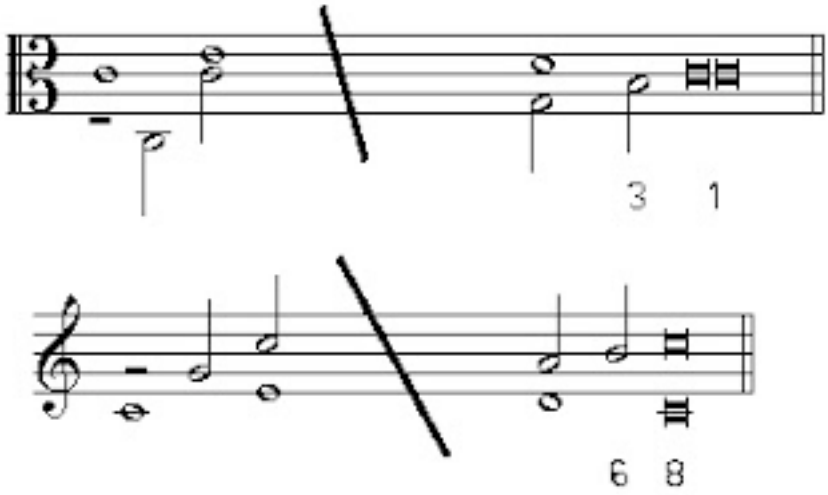
[2] Quote from *Grove Music Online*: article "Opera comique," §5. M. Elizabeth C. Bartlet with Richard Langham Smith.

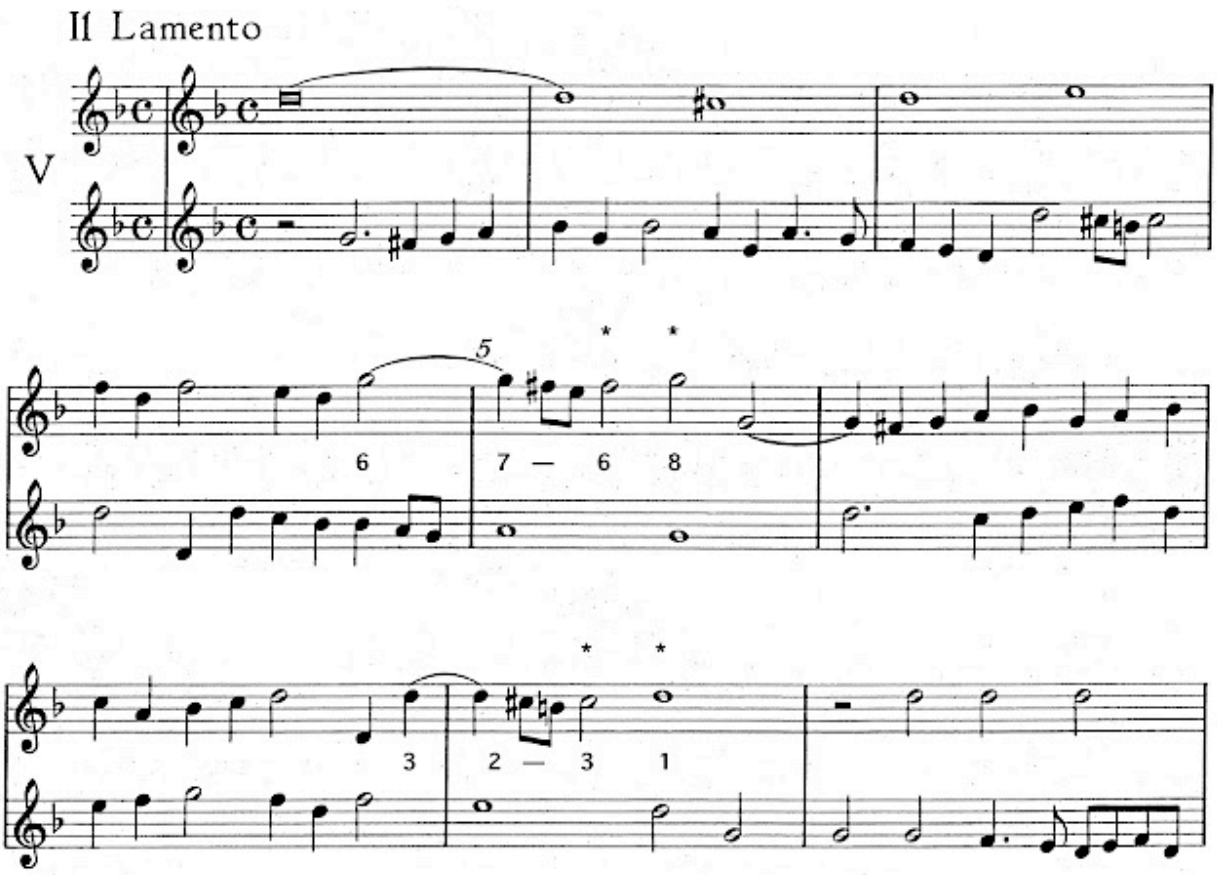
Part I: 16th Century

Counterpoint and the Rising Cadence Gesture

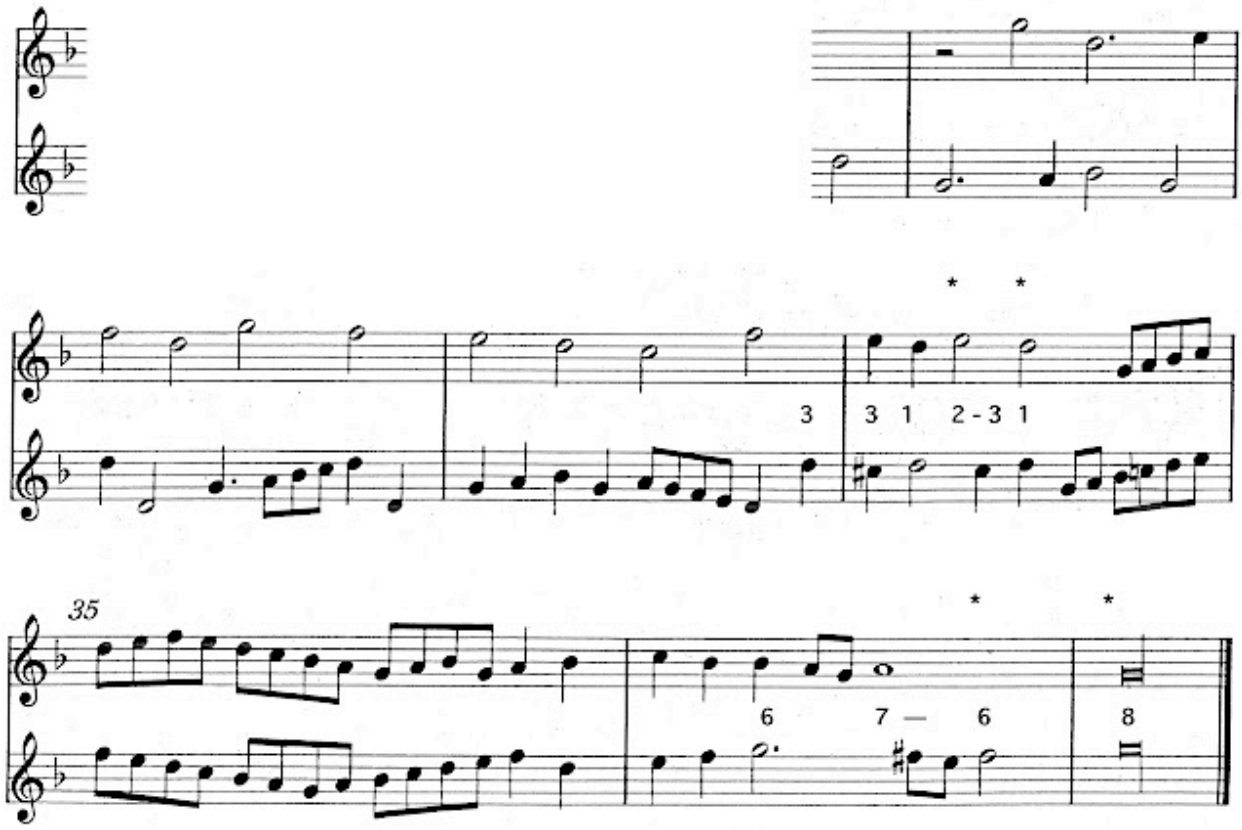
The articulation of cadences in sixteenth-century European music relied on the formula of third to unison intervals (if the parts are flipped, then it's sixth to octave). In each example just the beginning of a phrase in two voices is shown, followed by the cadence.



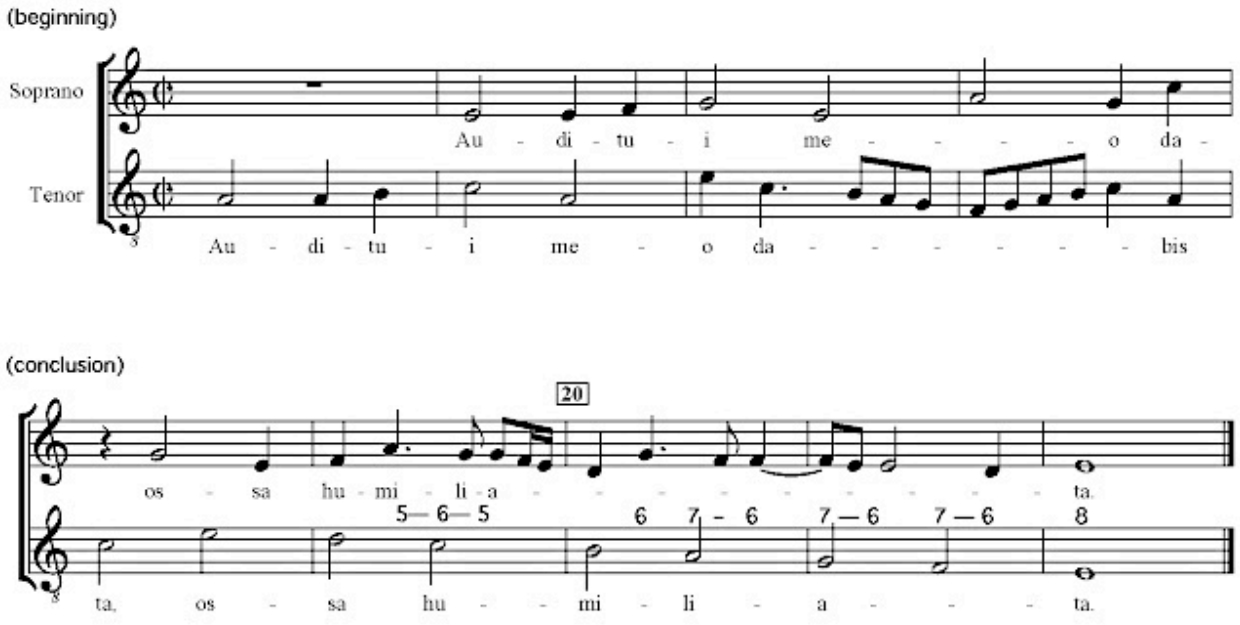
Here is an example from literally thousands of pieces showing the treatment of these figures. This is the fifth of Thomas Morley's Duets for Two Viols. In the opening phrase (mm. 1-5), a sixth (marked in m. 4) "prepares" a suspension dissonance that resolves into the 6 of the cadence: asterisks mark the 6-8. In the second phrase, similarly, a third D-F "prepares" a 2-3 bass suspension and the cadential 3-1 follows (note that the lower notated voice is actually higher in pitch at this point).



And here are the final two phrases, in which the cadence types are reversed: 3-1 first, then 6-8. Again note that the second cadence has the lower notated voice higher in pitch. Indeed, it is one of the uncommon instances of a rising cadential figure in notated ("art") music in the centuries before 1800.



Far more common in the sixteenth and early seventeenth centuries is to bring a string of parallel sixths down, often with suspensions, toward the 6-8. The example below is from the fifth of the texted bicinia (sometimes called "duets") of Lassus. Four sixth intervals in a row, three with suspensions, make for an inexorable drop to the cadence, and it is only the sudden turn to the final octave that stops the progression (and is a big part of the expressive and formal point).

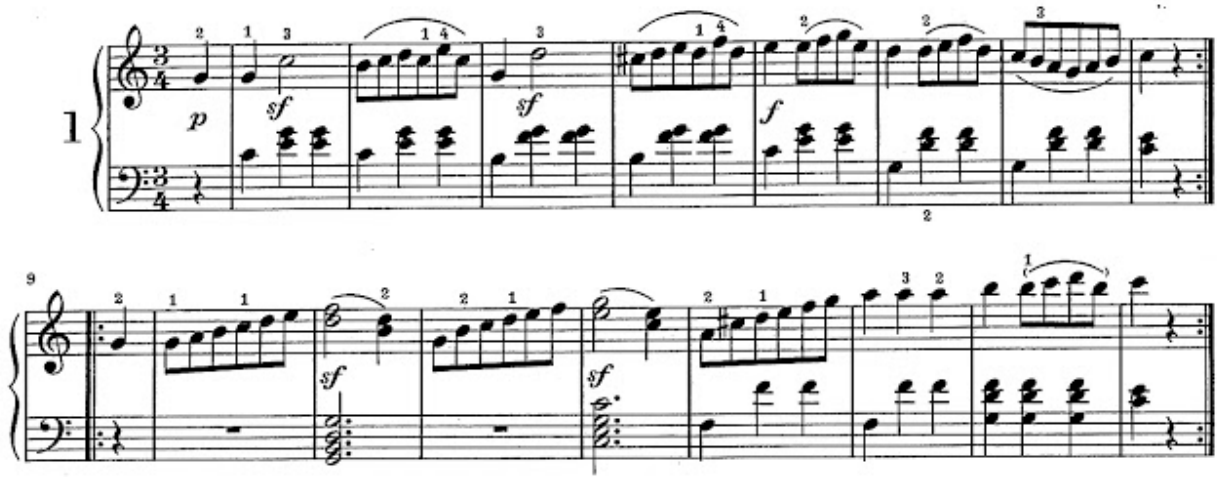


As we saw above, 16th century cadences with interval pairs 3-1 or 6-8, could be the ground or motivation for a rising melodic gesture, but the odds were against it, mainly because of suspension figures that provided additional downward momentum into the cadence.

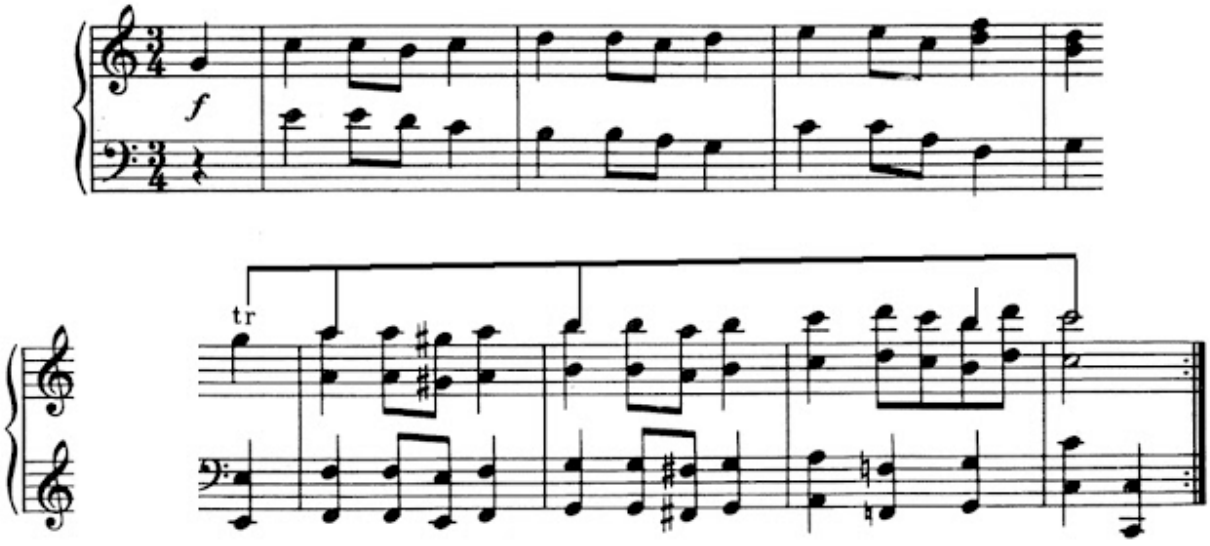
In the abstract counterpoint exercises that were derived from 16th century music, the potential for rising cadential figures was, ironically perhaps, much greater than it had been in the actual repertoires those exercises were trying to model. There were two reasons for this:

(1) the separation of figures into "species" served to isolate suspensions into a single type of exercise;
(2) in two-voice instruction, it was routine to write one exercise with the ground or cantus above, then another with the ground below, a situation that guaranteed trading off the 3-1 and 6-8 cadences.

Beethoven studied strict counterpoint with Johann Albrechtsberger while Haydn was away in London. And it is here that the potential of a rising melodic gesture in counterpoint exercises came to fruition in music. Beethoven was apparently one of the first dance composers to make direct use of a rising cadence (but see below for a precedent from Mozart). Beethoven's 12 Deutsche Tänze, WoO8, were composed only three months after he finished his counterpoint studies with Albrechtsberger, but the first dance in the set follows an unexpected trajectory. It begins with a stepwise ascent from ^1 to ^3, elaborated and harmonized with an 8-10-10 voice-leading figure with the bass—this is one of the conventional figures of the partimento tradition. The second strain leads the melody in a determined way upward to ^8. The first dance in a set such as this one—like the menuets in WoO7, these waltzes were for a public ball—was often used as a refrain, so that Beethoven would have had incentive to make it memorable.



As it happens, Mozart had anticipated Beethoven by twenty years. His set of 12 menuets, K 176, opens with a similar promenade/refrain, and it uses virtually the same opening and closing figures.

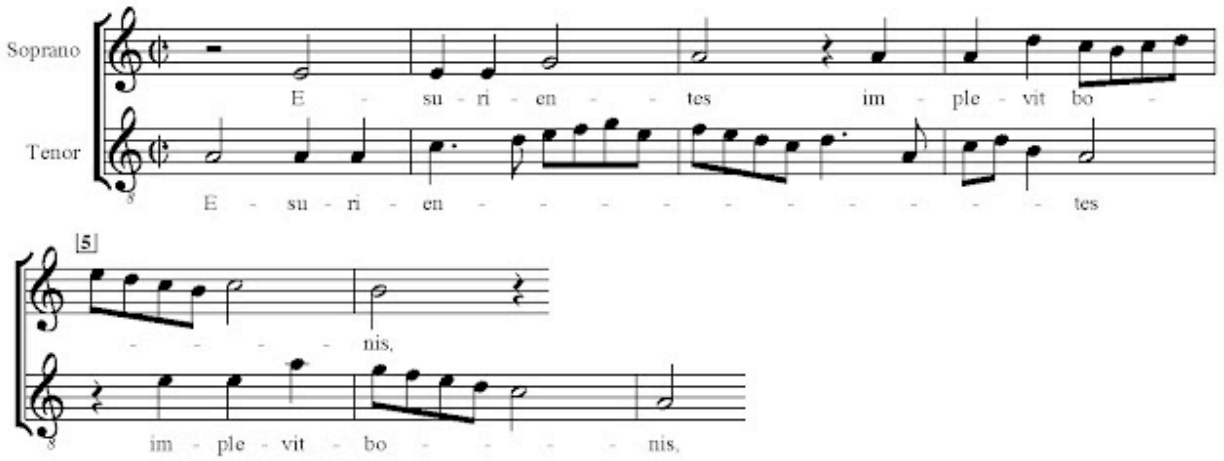


Lassus

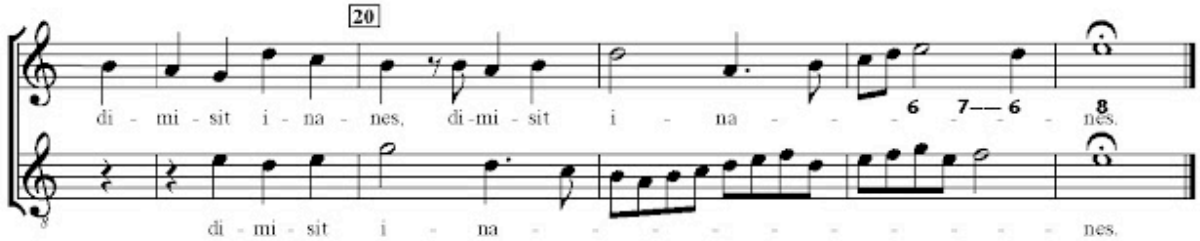
Lassus published two sets of bicinia in 1577. The first set of fifteen of these are texted, another with twelve are not. Among the texted duets, numbers 6 and 15 use the same text, "Esurientes implevit. . ." [KJV: "He hath filled the hungry with good things; and the rich he hath sent empty away," Luke 1:53; from the Magnificat]. I am not an expert in 16th century text painting and will not comment on that element. Which is another way of saying that I don't see anything obvious in the particular choices of figures or cadence types.

The opening and closing measures of n6 are in the example below. The points of interest here are that Lassus is not afraid to use the 6-8 cadence to close (that is, he shows no prejudice in favor of 3-1), and the overall gesture in the upper voice is rising.

(beginning)

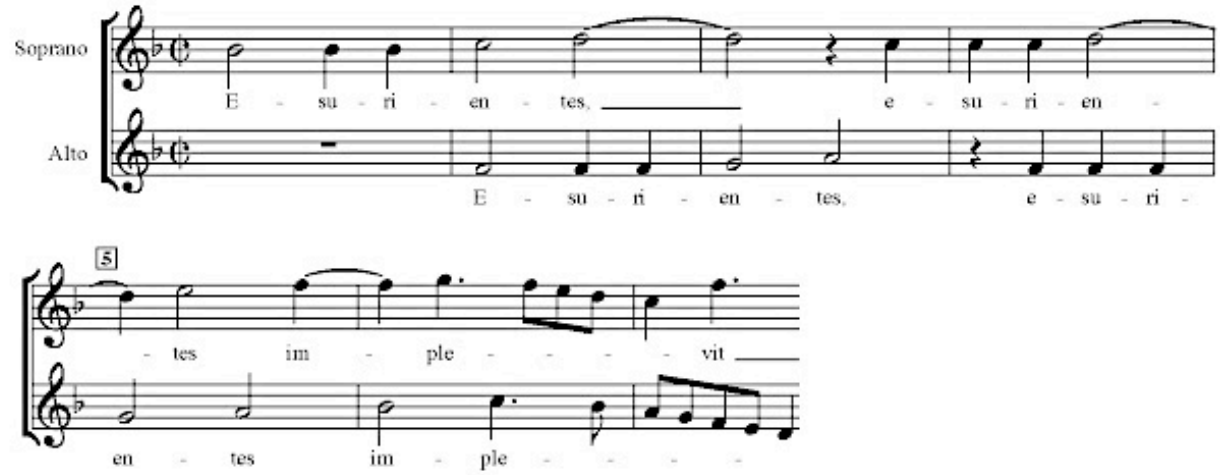


(conclusion)



The last of the texted bicinia (n15) uses the same text as n6. Here again I have shown beginning and ending only, and here again the opening phrase is quite long and without cadence in my excerpt (probably this does have something to do with text painting, since the text is about "filling the poor with plenty"; KJV: "He hath filled the hungry with good things"). And here again the focus of my interest is the ending, which offers a more elaborately embellished cadence than did n6, along with even more emphatic rising gestures.

(beginning)



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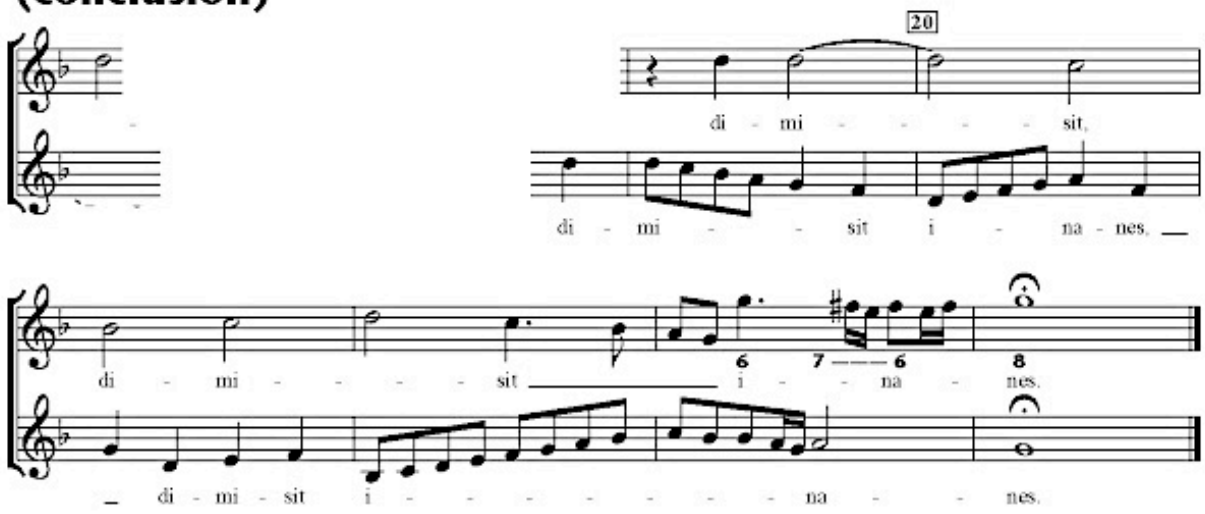
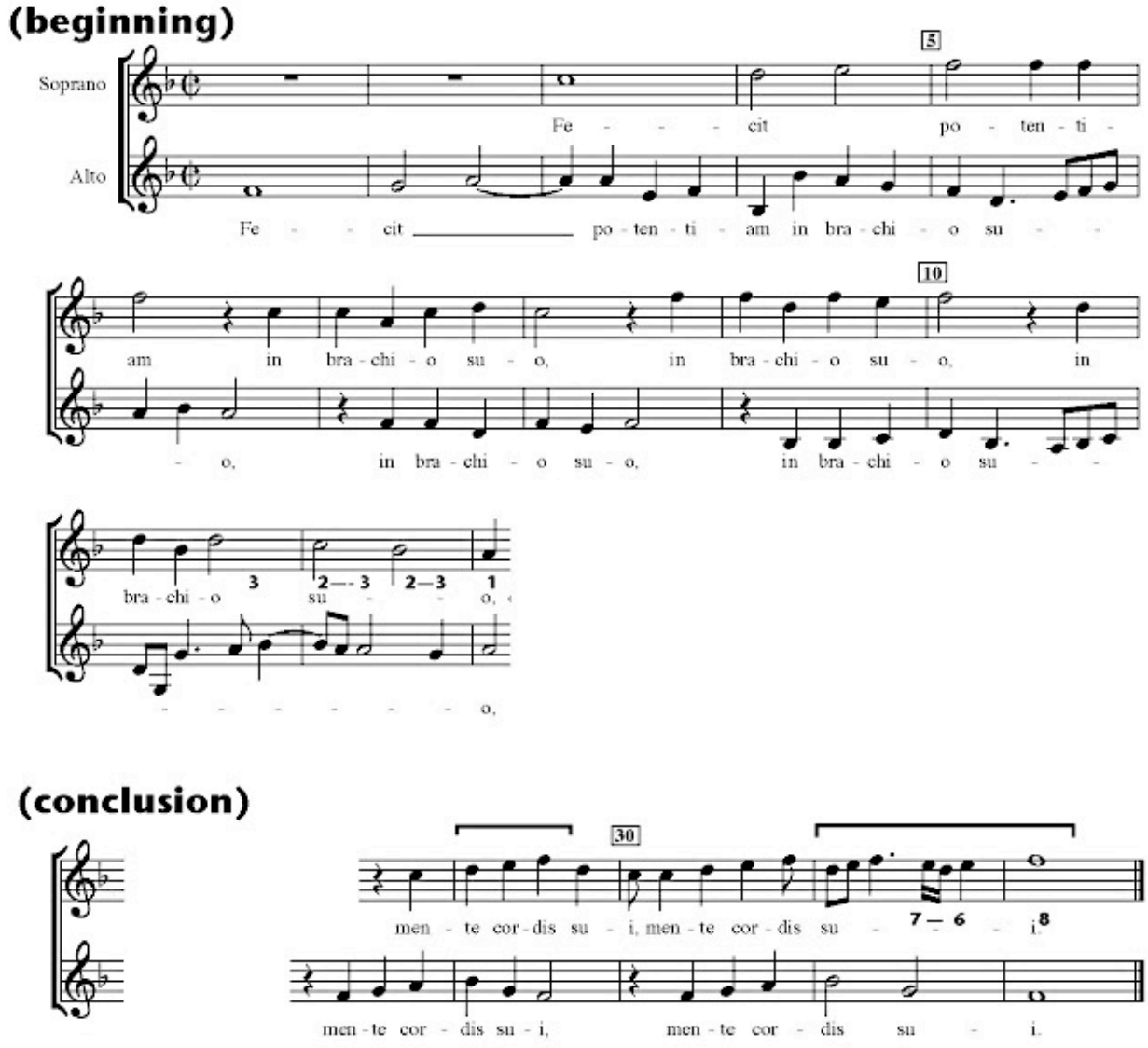


Another texted duet (n14) borrows from the Magnificat. "Fecit potentiam . . ." is in KJV "He hath shewed strength with his arm; he hath scattered the proud in the imagination of their hearts" Luke 1:51. Here a short first phrase ("Fecit potentiam") is without cadence, but the second is very clear (for "in brachio suo"), involving three thirds and two 2-3 bass suspensions.

The conclusion again is the point of interest, however: now familiar rising gestures in connection with a 6-8 cadenza perfetta, but note that the approach in the upper voice is repeated, a less likely option than a more varied, but still mainly stepwise figure.



Gastoldi

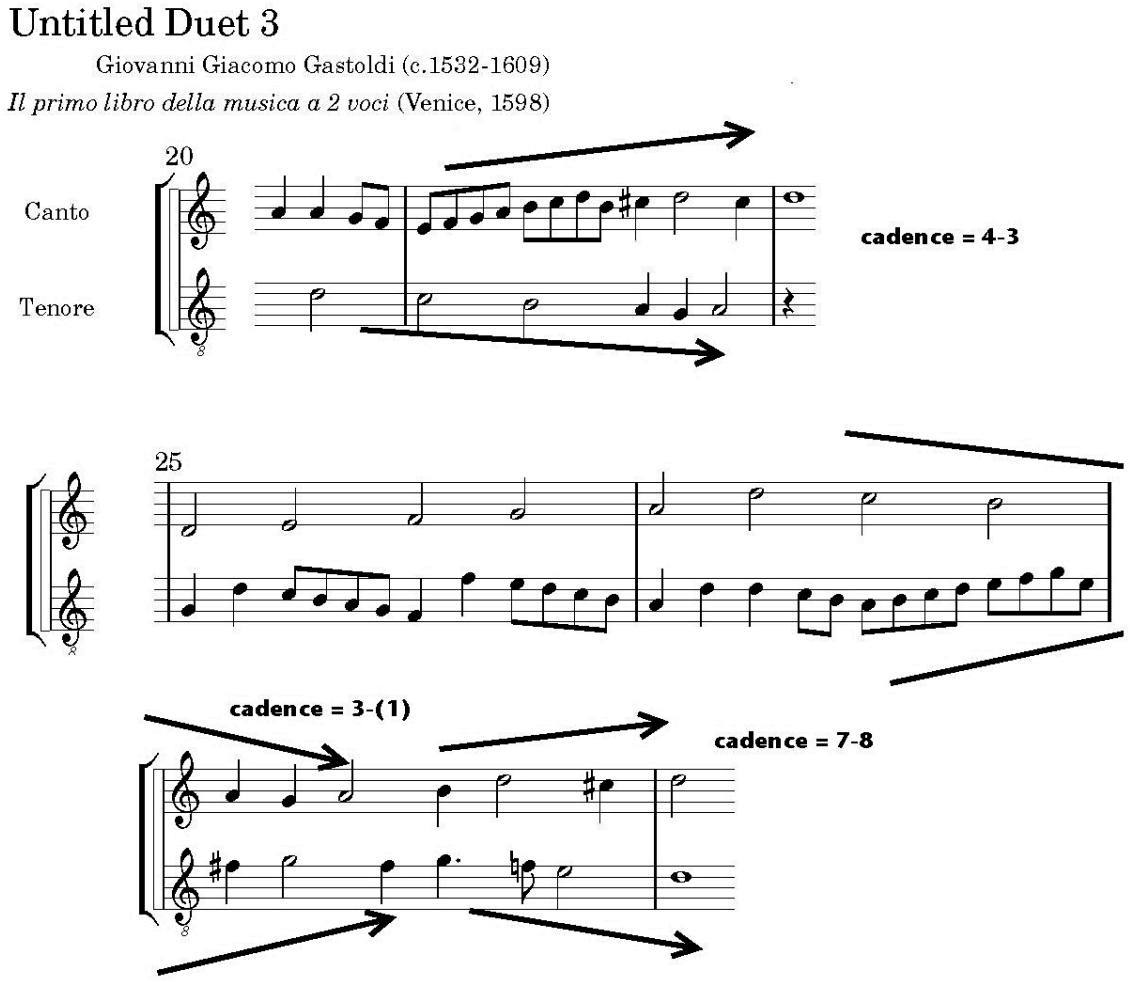
Twenty years after the publication of Lassus' two set of duets, Giovanni Gastoldi published his first book of music for two voices. Like most pieces in the category of bicinia, these were most likely intended primarily for instructional purposes, rather than for performance. (The importance of the repertoire of didactic pieces is recognized and provides the pedagogical foundation for Peter Schubert's excellent textbook *Modal Counterpoint, Renaissance Style* (Oxford 2007, second edition).)

Among the internal cadences in the third duet are a pair that neatly illustrate my point. In two

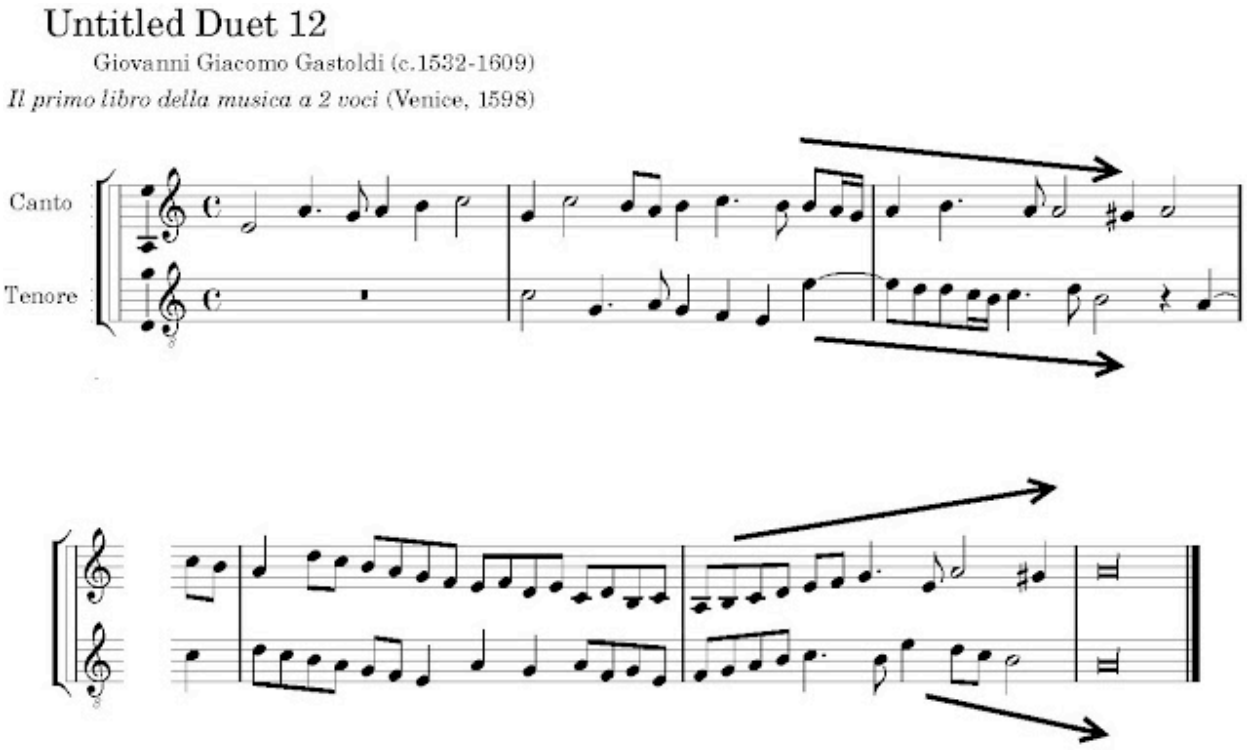
of the three pieces by Lassus discussed above, the voices largely approached the cadence in the same direction—up, of course, since I was bringing out the historically significant idea of rising cadence gestures.

Contrary motion is entirely possible, too: in the cadence pair below, the 3-1 is approached in a closing wedge, 6-8 in one that opens. Both express broadly basic motion in each of the cadences: 3 closing into 1, 6 opening out to 8.

It is important to note, however, that there is in fact no necessary directional bias in either of the two cadence types, 3-1 and 6-8.



Following up on wedge shapes in cadences, here are opposing cadence figures, both for 6-8, in n12. The two cadences are at beginning and end of the piece. In the first case, motion is down in both voices and is especially pronounced in the tenor. In the second case, a stream of parallel motion is interrupted in the final few beats as the tenor reaches a high note, E4, and then descends firmly by step.



Vecchi

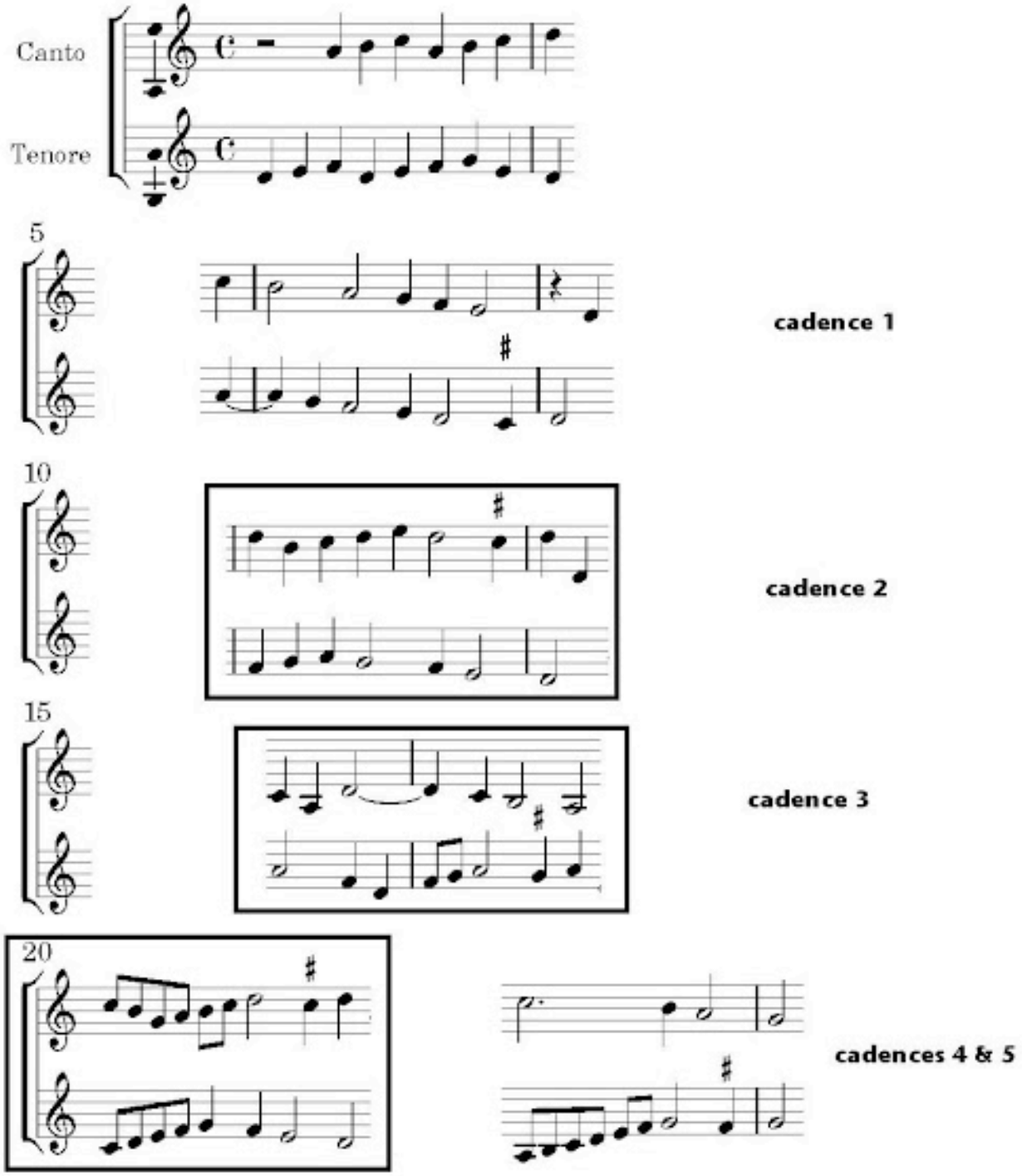
In the same year as Gastoldi, Orazio Vecchi published his own book of instructional duets. I have chosen two of them for the sake of a census of cadence types: n21 & n22. Granted, these pieces are somewhat arbitrary constructions, but I suspect that the numbers in "proper" compositions will be similar.

I tried to focus on clearly articulating phrase-ending cadences. I did not include evaded cadences or brief cadence-like figures that are obviously within longer phrases. On those terms, the duet has 11 cadences, six of which are 6-8, and five are 3-1. Cadence types are distributed more or less evenly throughout. Of particular interest is that every one of the 6-8 cadences is different, something obviously useful for pedagogical illustration.

21. [Untitled]

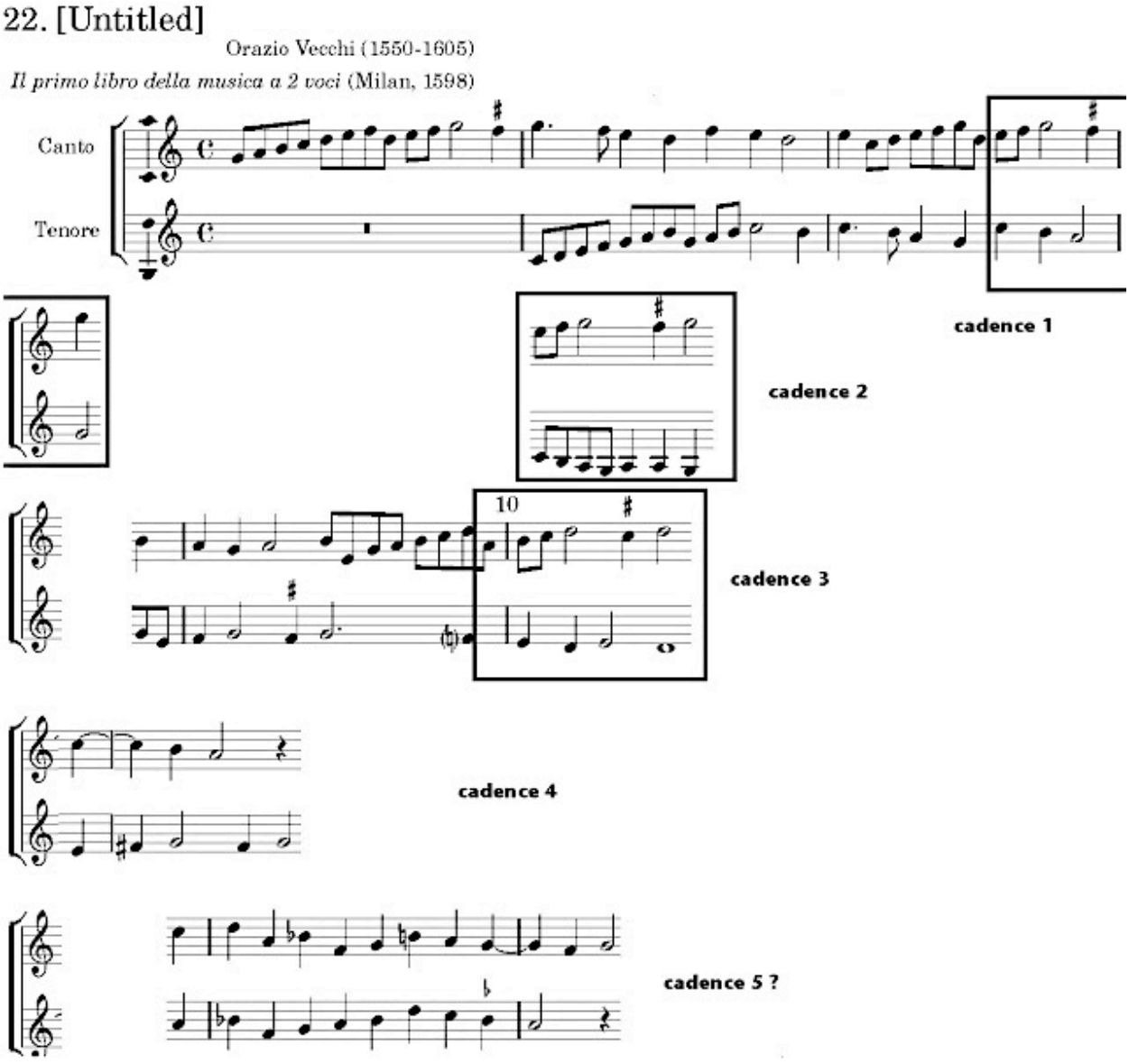
Orazio Vecchi (1550-1605)

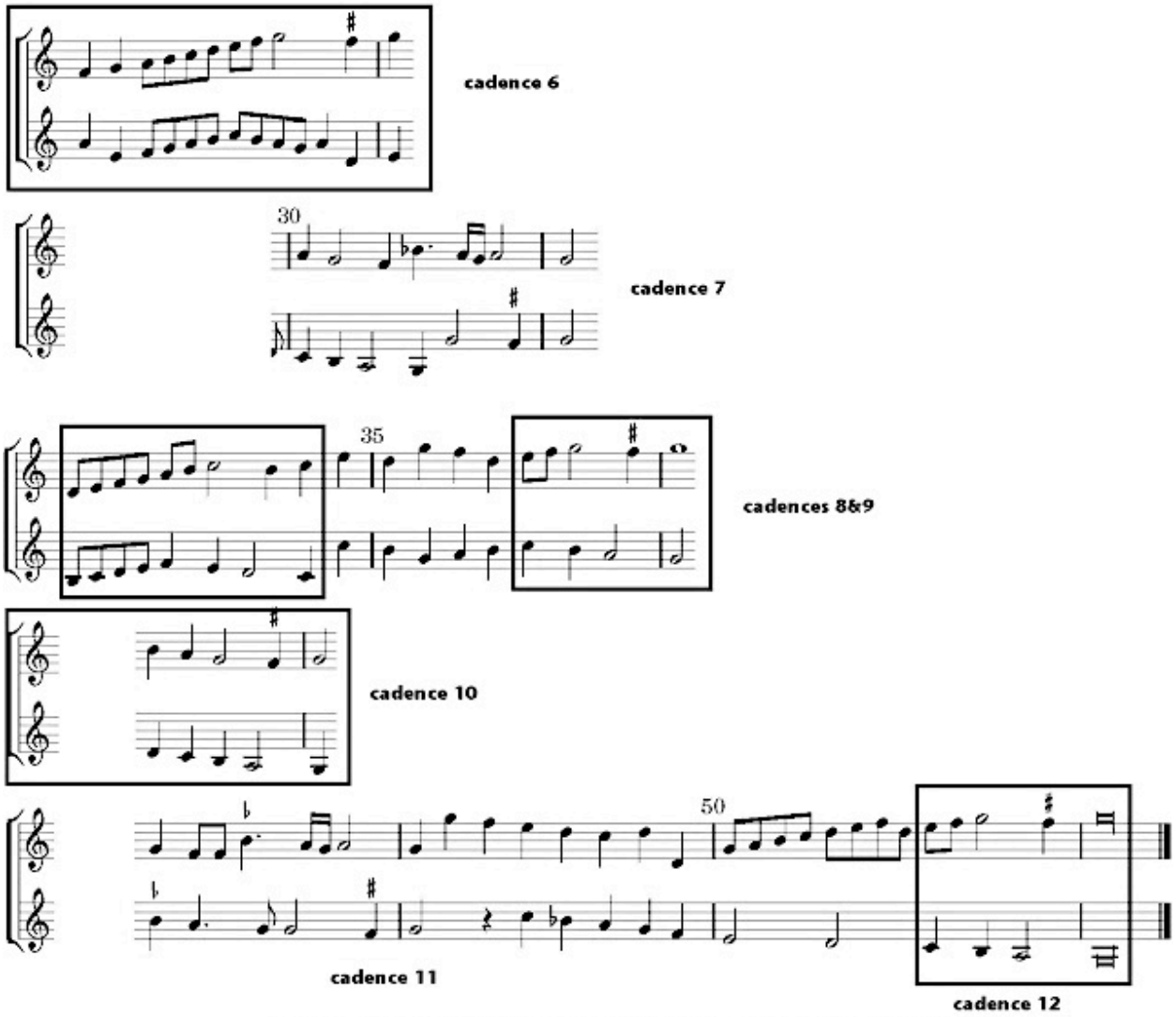
Il primo libro della musica a 2 voci (Milan, 1598)

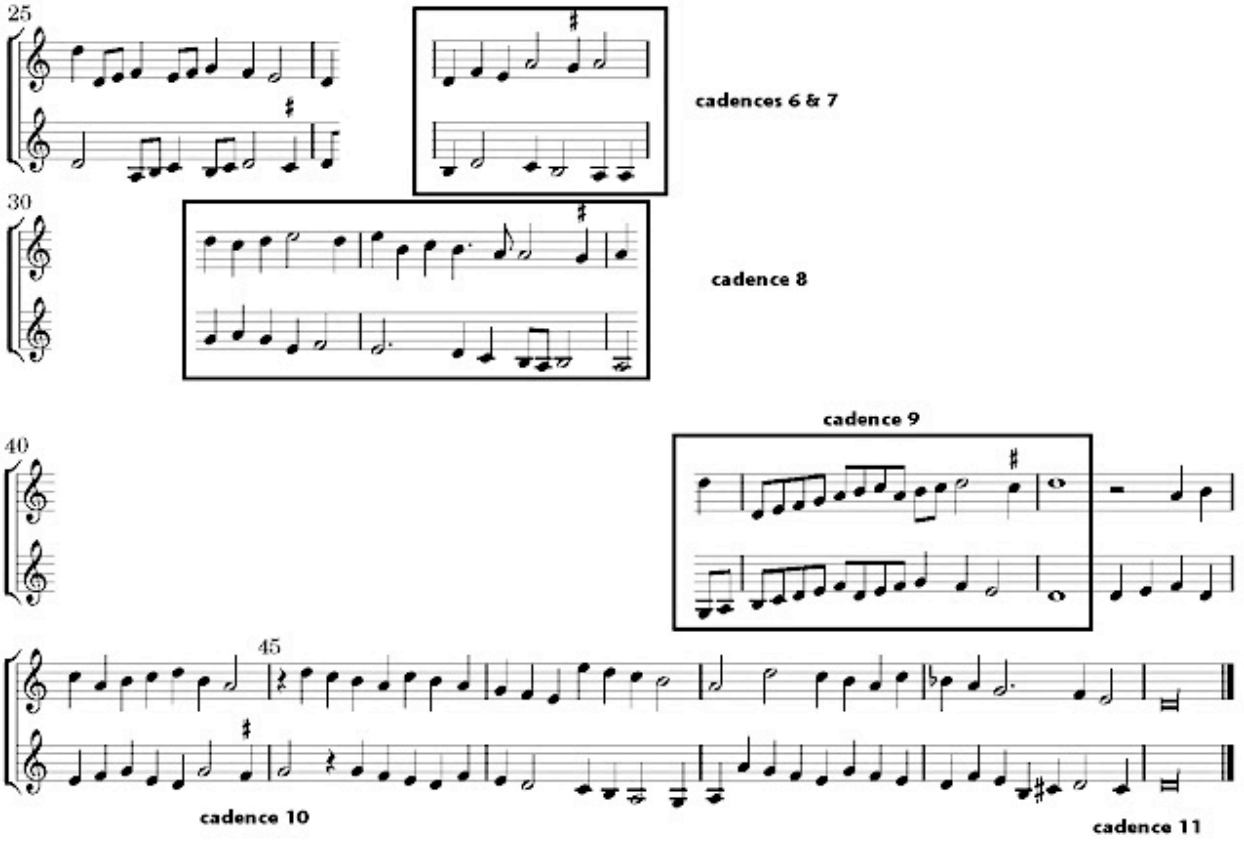


Continuing the census of cadences in the duets of Orazio Vecchi, I look at the twenty-second (btw, there are 38 duets in all). Here are 12 cadences, including a closing cadence with a rising line to ^8 (G5 in the Mixolydian mode). I admit, however, to having relaxed my rules and counted an evaded cadence (n6) and both cadences in a cadence pair (ns 7 & 8). Without those, there are 10 cadences, six of which are 6-8 and four are 3-1.

I suspect the slight bias toward 6-8 in the two duets by Vecchi would be erased in bicinia where the two voices are in the same range. I may take up that question at another time, once I find a suitable repertory. (Lassus's duets aren't good for this work because he emphasizes very long phrases, so that even the lengthy un-texted duets have no more than 2 or 3 cadences.)







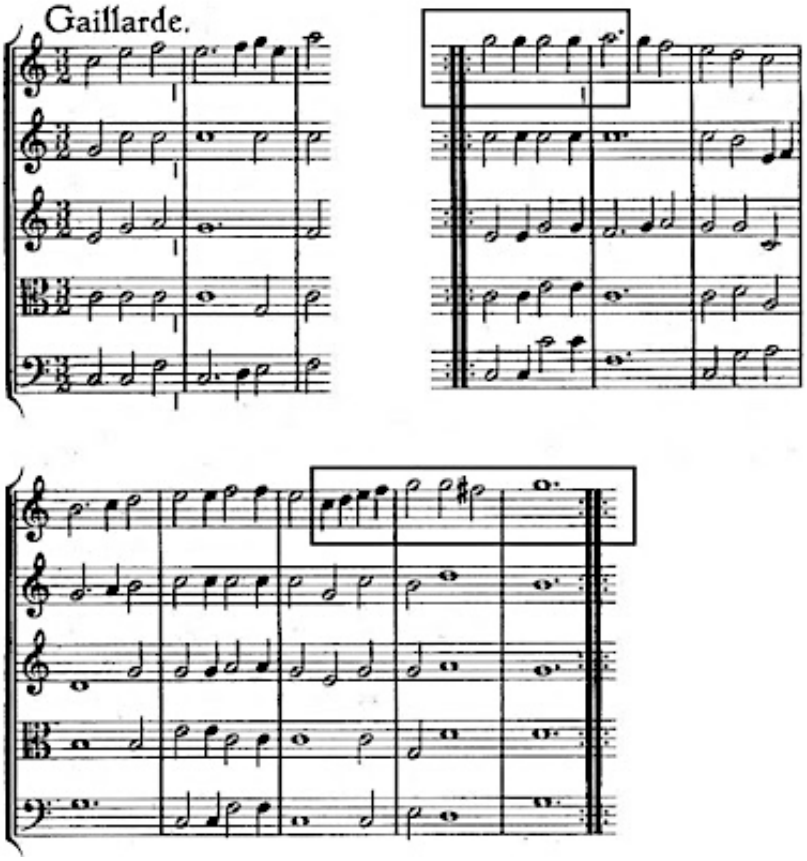
Part II: 17th Century

Praetorius

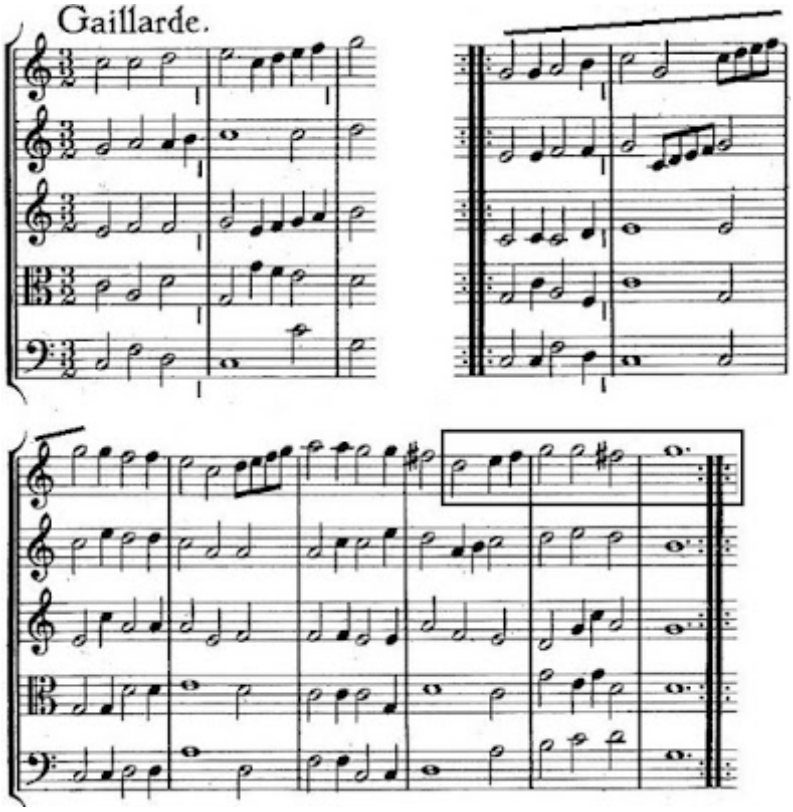
The enterprising and prolific Michael Praetorius published a volume of more than 300 dances in 1612. These included 22 bransles, 163 courantes, 48 voltas, 43 ballets, 30 passamezzos and galliards (some but not all of them paired), and 12 other dances. All are set in 4 or 5 voices and, as Praetorius notes in his subtitle, are appropriate for performance in social situations. He is also generous in giving credit to French dance master Francisque Caroubel, whose melodies (mainly the bransles) Praetorius sets. Still the majority are Praetorius's own melodies, with a relatively small number labeled unknown (*incerti*).

Roughly 10% of the pieces have rising cadence gestures in one of their strains, more often the last than the first or an interior one. Here are three samples of interior strains to begin.

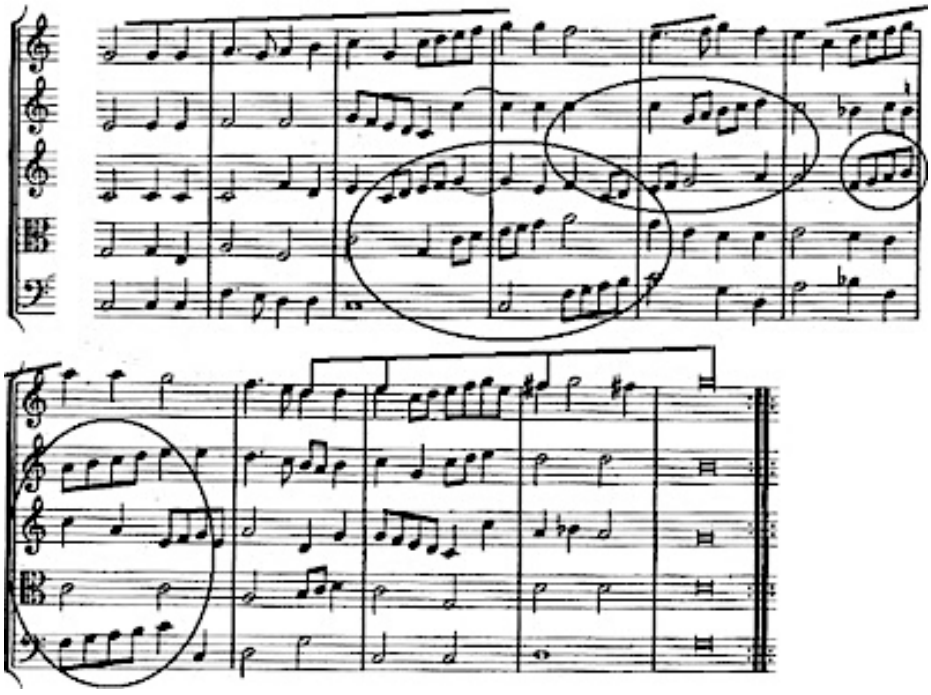
N285. Among the galliards (a fast triple dance with only occasional play between rhythms in 3/2 and 6/4), n285 is typical in having three strains. The opening of the piece is shown below, along with all of the second strain, where the register of G5 is established immediately, the range of the melody being from there down the sixth to B4. The simplicity of the approach and the clarity of the cadence figure itself are characteristic.



N284. In n284, the second strain initially stretches the register to an octave, starting from below, on G4 (line), but stays in the upper half once G5 is reached. In this case, each cadence note receives a consonant chord as harmonization. As point of information, like n285, the cadences in the first and third strains are on C.

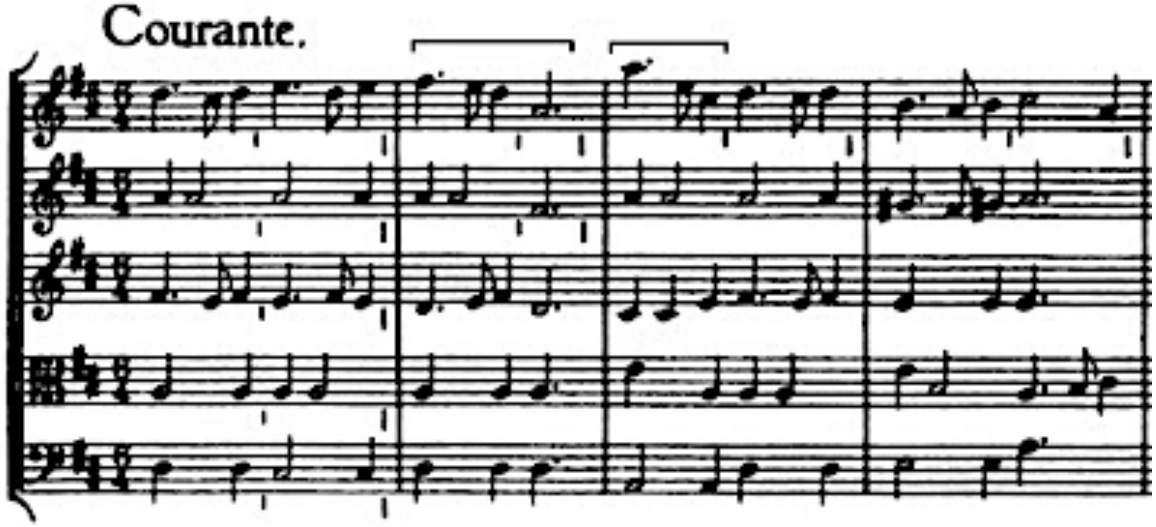


One of the rare densely imitative settings in *Terpsichore*, the second strain of n283 (a passamezzo) uses the same figures and registers as the two galliards above but in a more varied and florid manner. Note the deliberate stepwise motion upward in the cadence, with diminutions of scale degree ^6 (assuming here a Mixolydian octave).



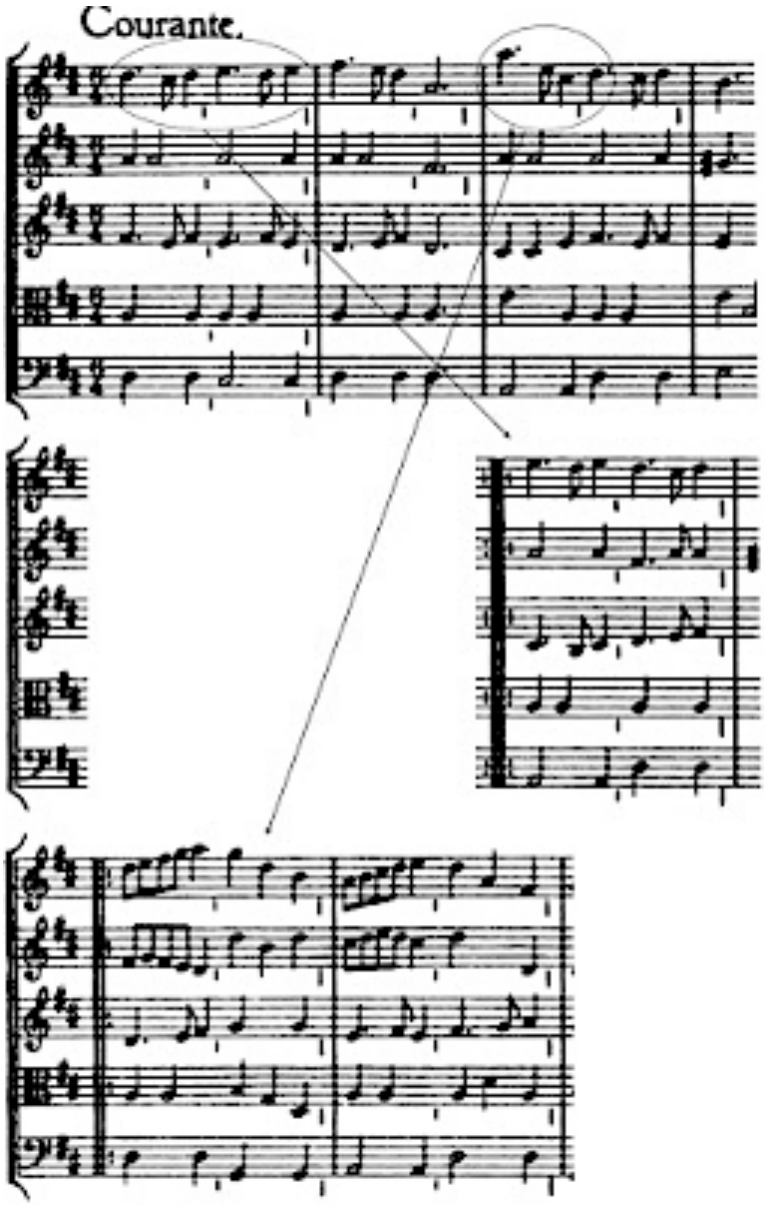
(Comment: The two galliards, ns284-285, are derived from this passamezzo, though in a freer manner than would be suggested if we called them variations (note that the second strain of n284 is much closer to n283 than is the second galliard, n285). This method of variation/ adaptation is commonplace in the 16th and early 17th centuries.)

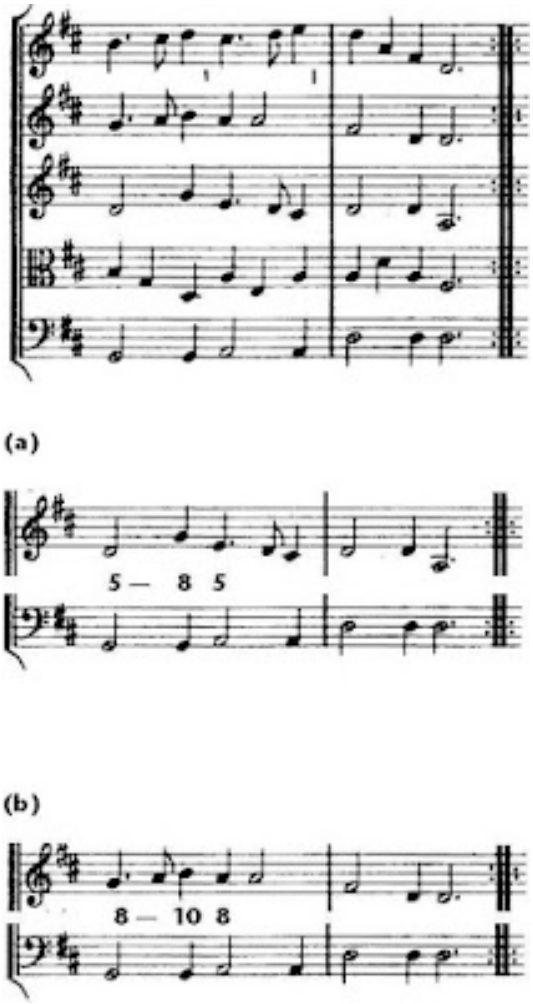
N50. The courant (courante, corraunt, etc.) in Praetorius's time was closely related to the jig or gigue, and therefore quite different from the later, much subtler and slower French court dance (spelled courante) that also became a staple of late Baroque dance suites. The relationship can be seen in the opening of n50, with its firm triple meter, dotted rhythms, and (atypical) arpeggio figures—these latter are bracketed.



In *Terpsichore*, the many courants are in either two or three strains. In n50, the openings of the second and third strains pick up one or the other of the opening motives, making for a nicely compact melodic design (it should be noted, though, that this is one of the melodies Praetorius marks as "incerti").

The point of interest is the ending of the first strain—see the graphic below. A straightforward cadential move from ^6 through ^7 to ^8 can cause problems in the voice leading if the bass simply moves, as here, from IV to V to I. Praetorius solves the problem with diminutions that create "inserted" intervals between the bass and a potentially offending voice: 8 between two 5s at (a), and 10 between two 8s at (b). His method was standard in polyphony of all sorts (including improvised) in the sixteenth century.

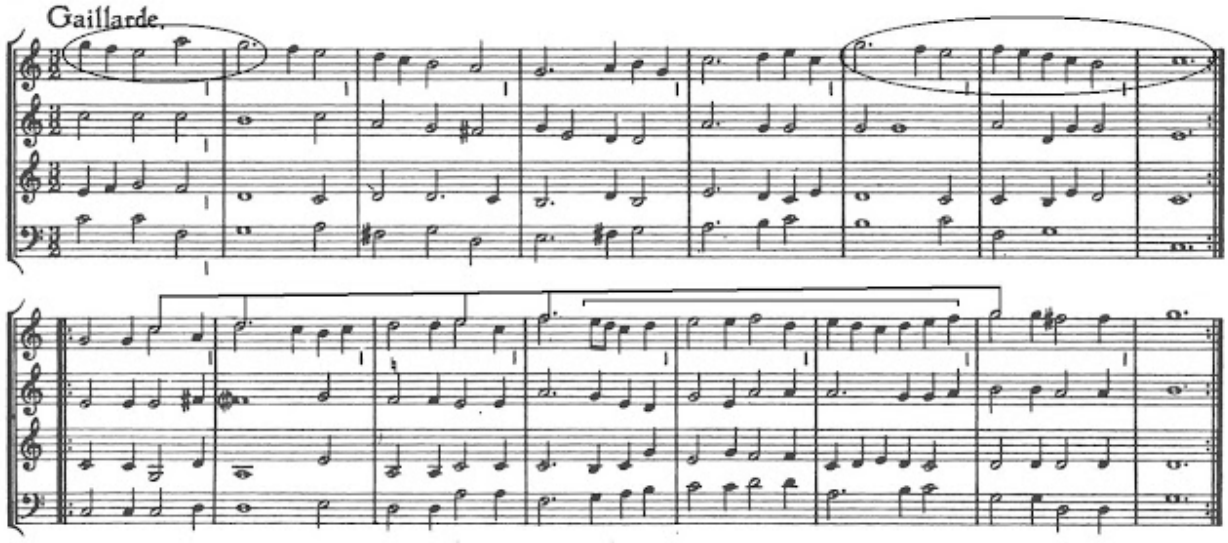




N308, a galliard in three strains. In the first strain, the register crowned by G5 is established immediately (circled), moves down through an octave (bar 4), then is recovered in its upper fifth (C5-G5) to close (circled).

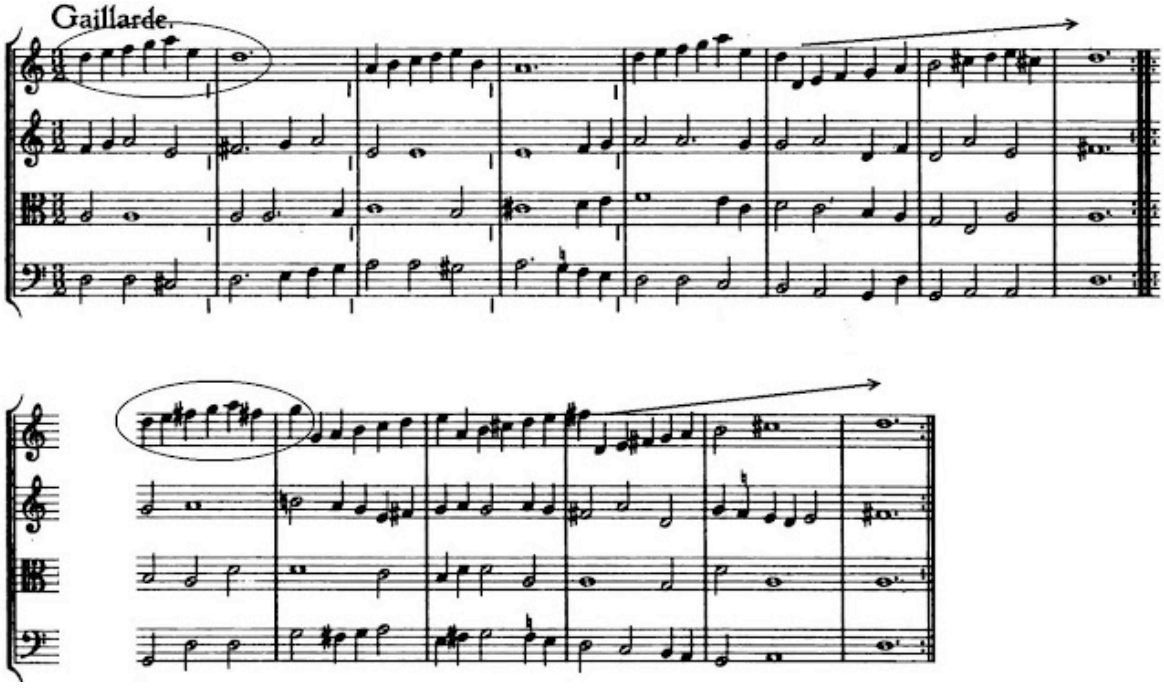
The second strain covers the same ground in reverse, although in a very different manner: the lower fourth is touched immediately (first bar), then abandoned for the upper fifth (C5-G5), which Praetorius moves within (bracket) and through (beamed line) for the remainder of the strain. The cadence is at the top of the register. Note that the alto voice doesn't realize the cadenza perfetta (it would have gone to G4, not B4): in four-part writing there is a strong bias toward ending with a complete triad, even if this means abandoning the proper cadence (the first strain shows the other option—an incomplete triad—which is much less common but does allow for the 6-8 motion). In five-part writing, on the other hand, one can always realize the 6-8 (or, very rarely in *Terpsichore*, the 3-1).

The third strain (not shown here), incidentally, covers the same fifth to begin, then wanders about the octave more freely before ending on C5.

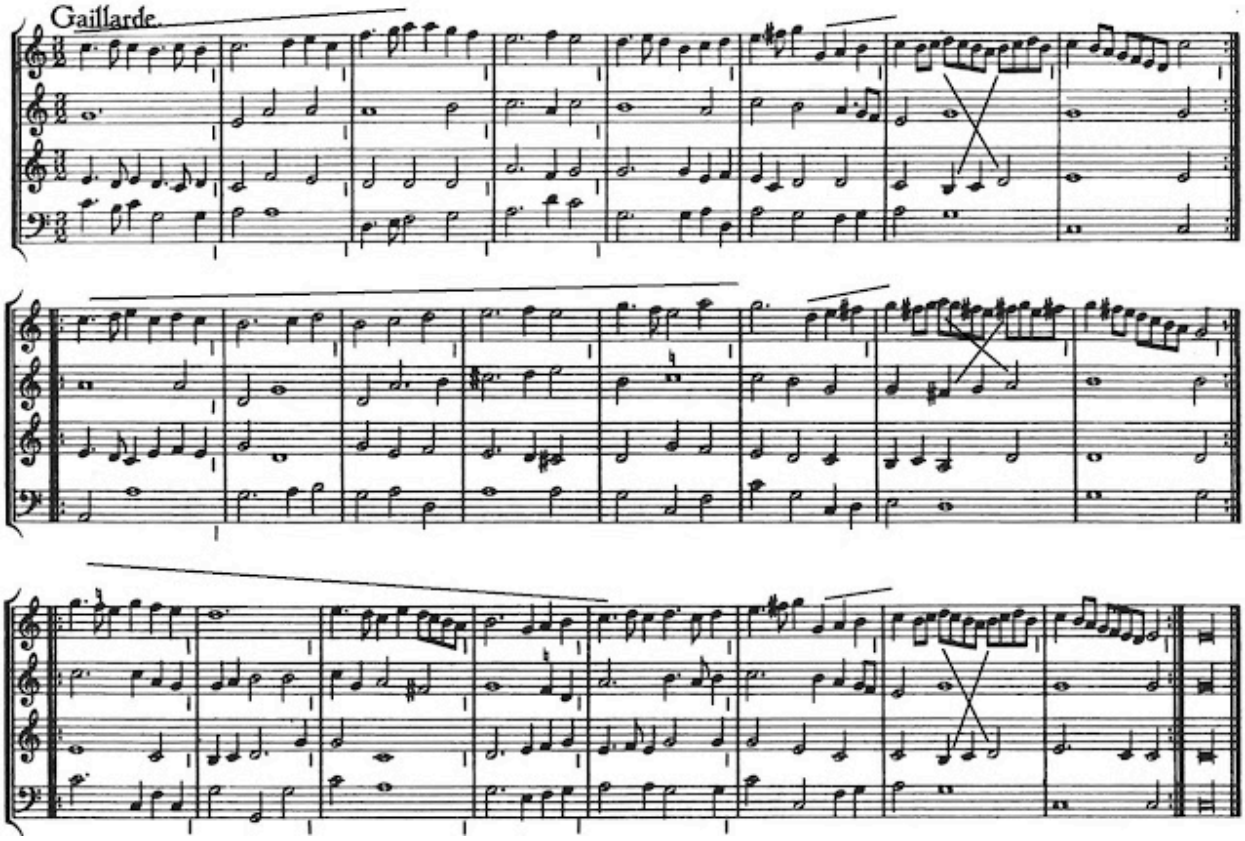


As we can see, a strongly directional, step-wise figure runs across almost all of the second strain in n308. Here are two more galliards with similar figures of differing lengths.

N295. In n295, one of the pieces where the melody is of uncertain authorship: here is a highly profiled motive with a scalar ascent and an unusual stepwise drop after a falling fourth (circled), something that would be frowned on in a 16th century counterpoint class. It's repeated, transposed, in bar 3, then at the original level in bar 5, and finally the scale is realized as a complete ascending octave. The second strain (not shown) is unusually short: four bars of a repeated chord plus cadence. The final strain "fixes" the motive (circled) with a third rather than a fourth and moving by step within the interval. Even stronger scalar figures follow to end with an unusual, direct [Dorian] ^6-^#7-^8.



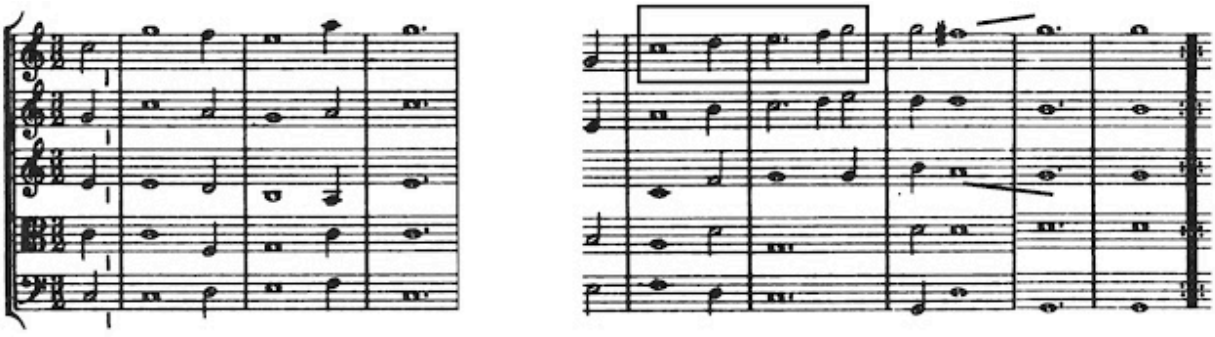
N304. In n304 (by Praetorius himself), rising figures fill out intervals fairly quickly (C5-G5 in the first strain) or more slowly (the same interval in the second strain; a descent from G5 in the third strain). The three cadences are nearly identical, moving stepwise to the final/tonic (angled line in bar 6 of each strain), then "trilling" about it with eighth-note diminutions (bar 7). I've marked the voice exchanges to confirm that the notes *on* the beat in the cantus are the ground notes of the melody and the other eighth notes are the diminutions.

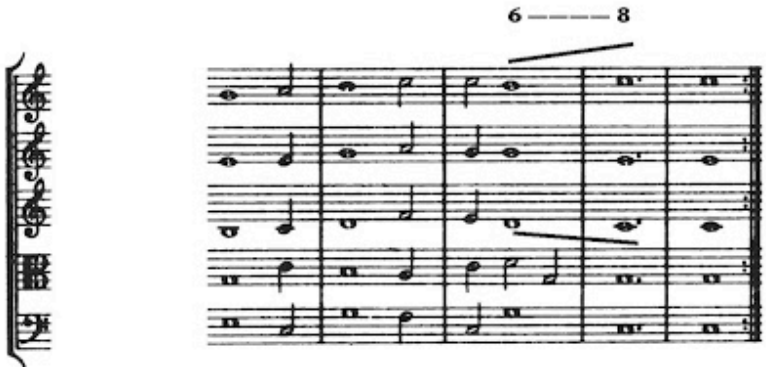


Ns 92-96. Here are five courantes. They are consecutive in *Terpsichore* and are also closely related to each other by certain features (Praetorius tries to group similar dances when he can). Like the majority of the many courantes, these are in two sections (others are in three sections, like the galliards we've examined earlier).

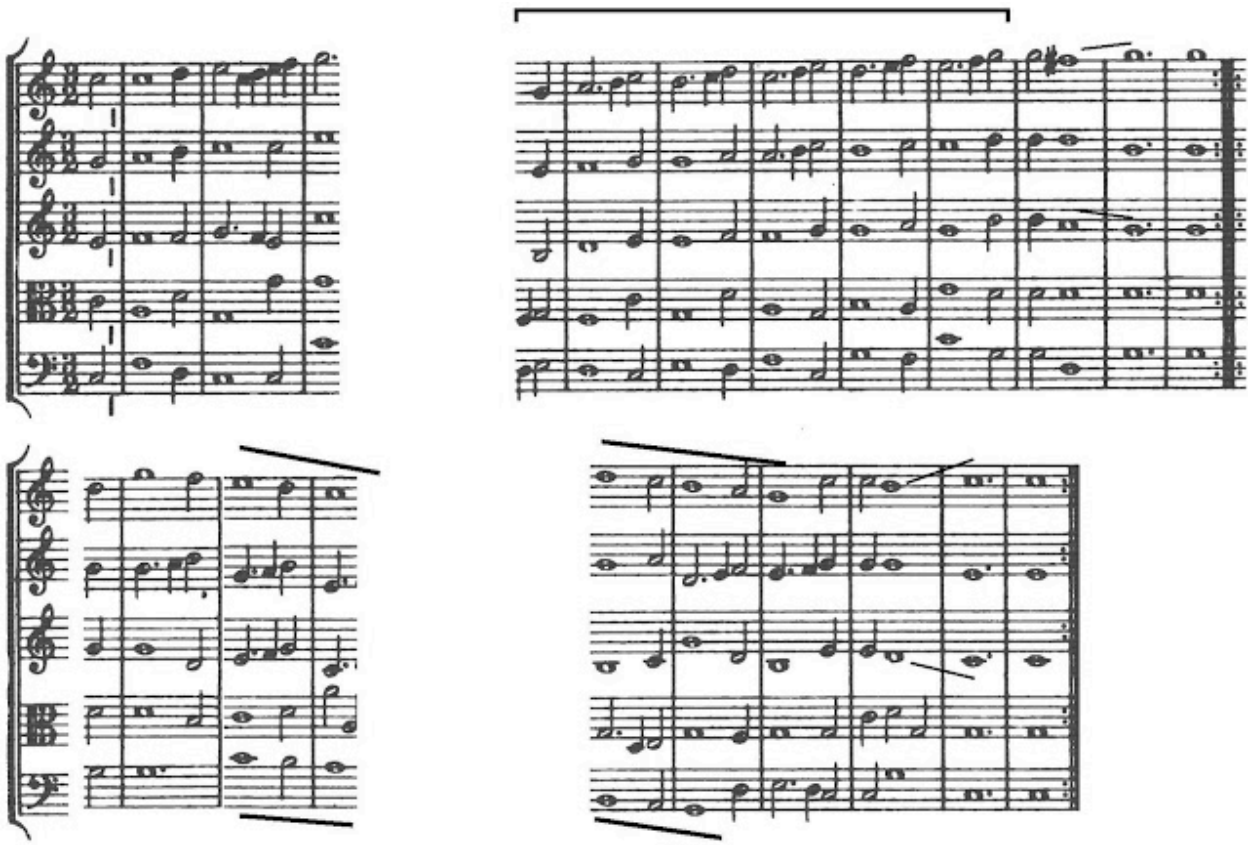
In this group the focus on the fifth range C5-G5 in the first strain is of interest, with a rise toward a cadence on G5 (a pattern we've also seen in some galliards recently). Note also that these courantes show the typical treatment of the 6-8 cadenza perfetta between the upper and middle voice ("tenor") in five-part writing.

n92:

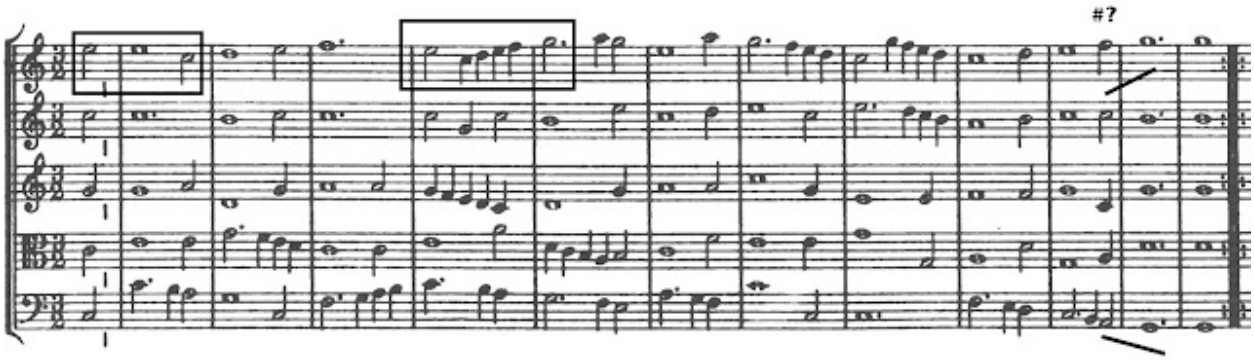




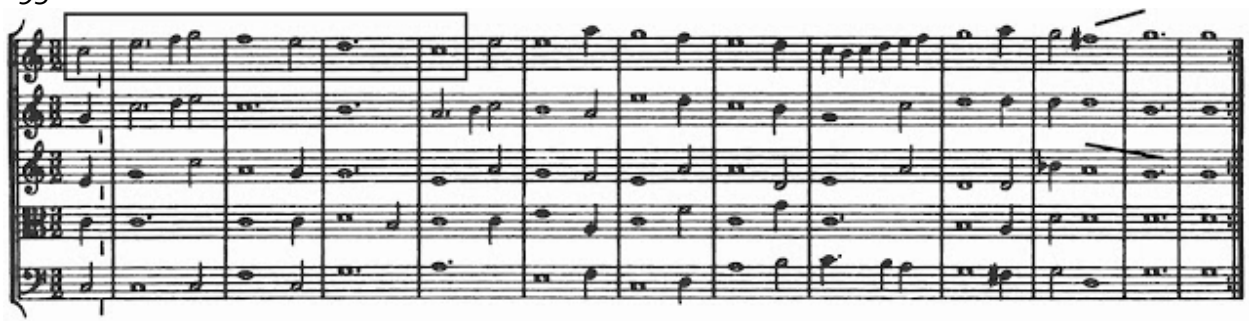
n93:



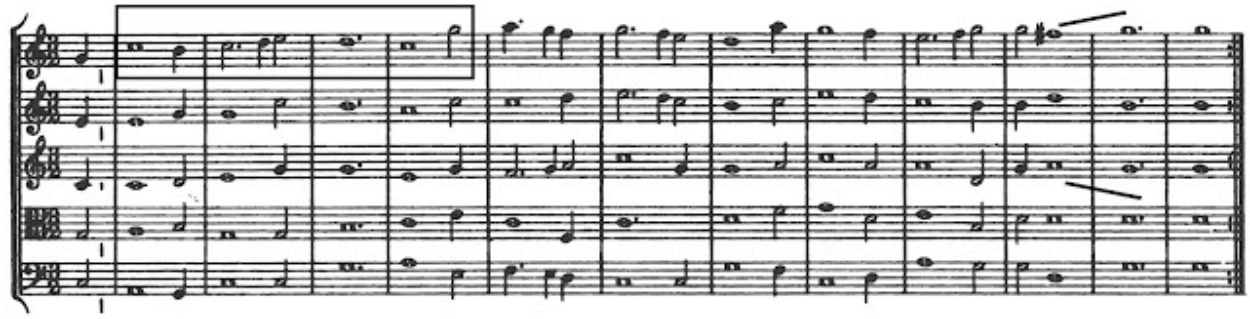
n94:



n95:

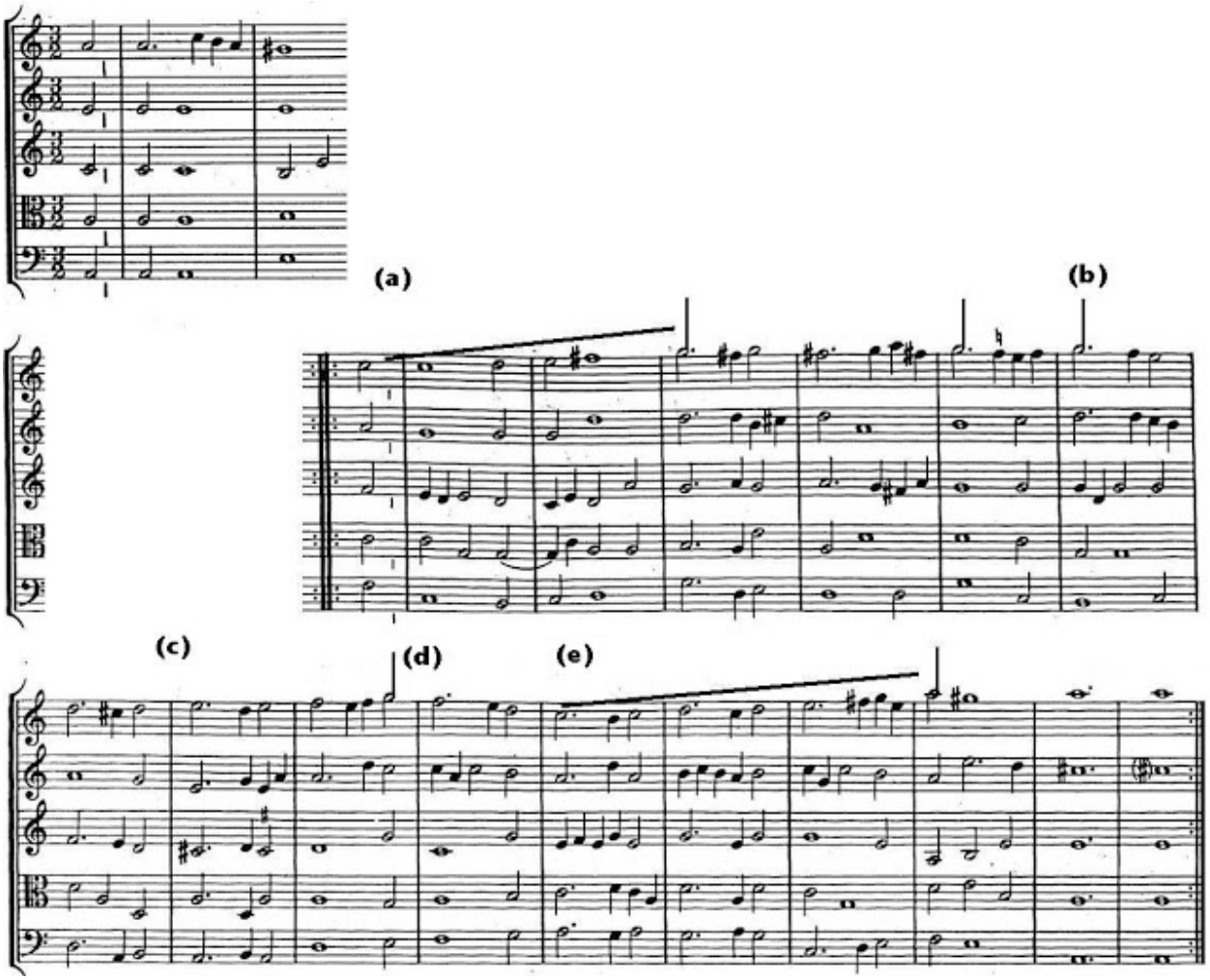


n96:

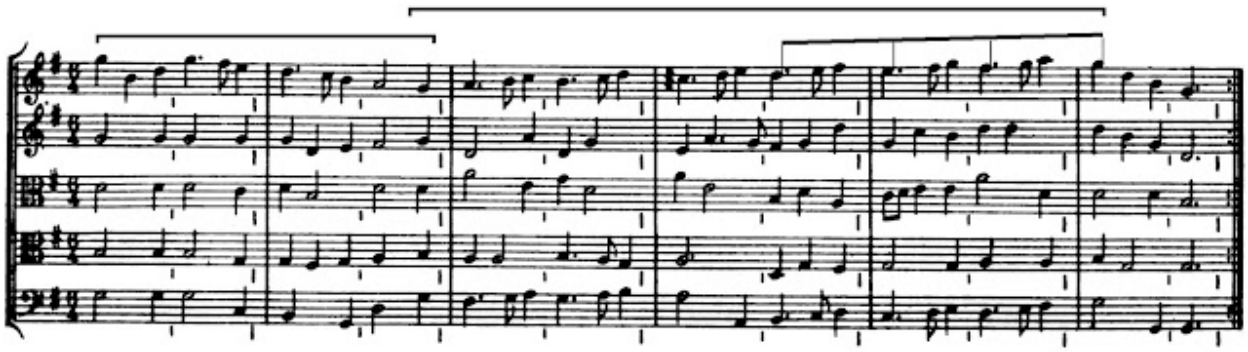


Here are several additional examples of strong linear motion across the last phrase of a strain or the entire section. These are all courantes, three with melodies by Praetorius, the other two "incerti."

n35: the first of the more than 160 courantes in *Terpsichore* is in two sections. In the second strain the range C5-G5 is established firmly (a), G5 held, then at (b) a partial descent, and the pattern is repeated from (c) through (e), at which point the range C5-C5 is covered yet again and expanded by one for the cadence on A. (It's not marked, but note the 6-8 cadenza perfetta in the cantus and tenor (middle voice).)

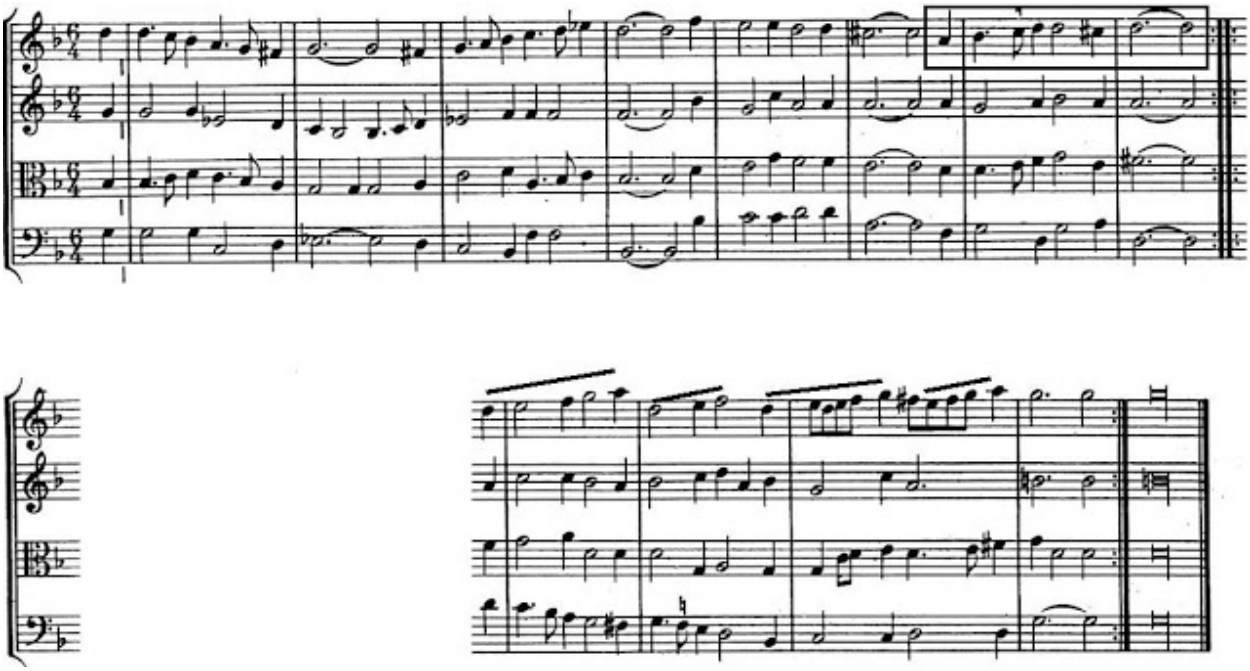


n76: this is the first strain of three. A strong contrast of arpeggio and descent through the octave (first bracket) with a long plodding line back up through that octave (second bracket and beamed line) to a cadence on G5.

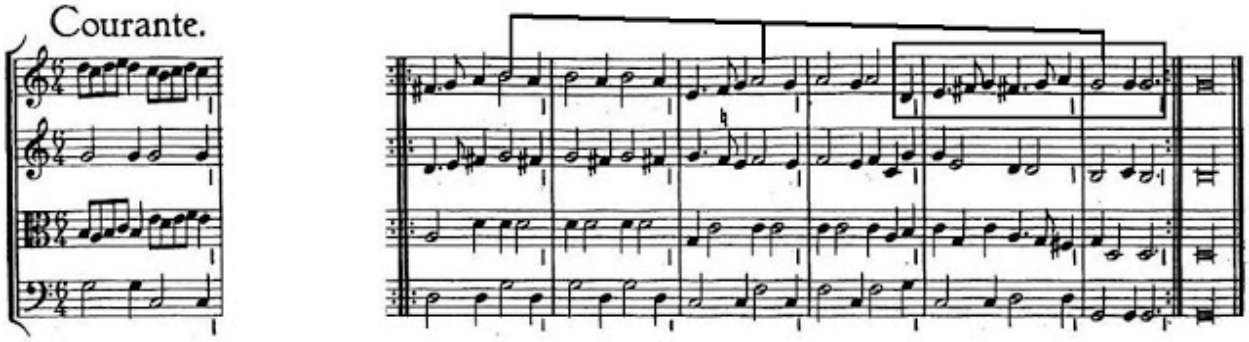


n147: author of the melody unknown; this is one in a series of courantes in once-transposed

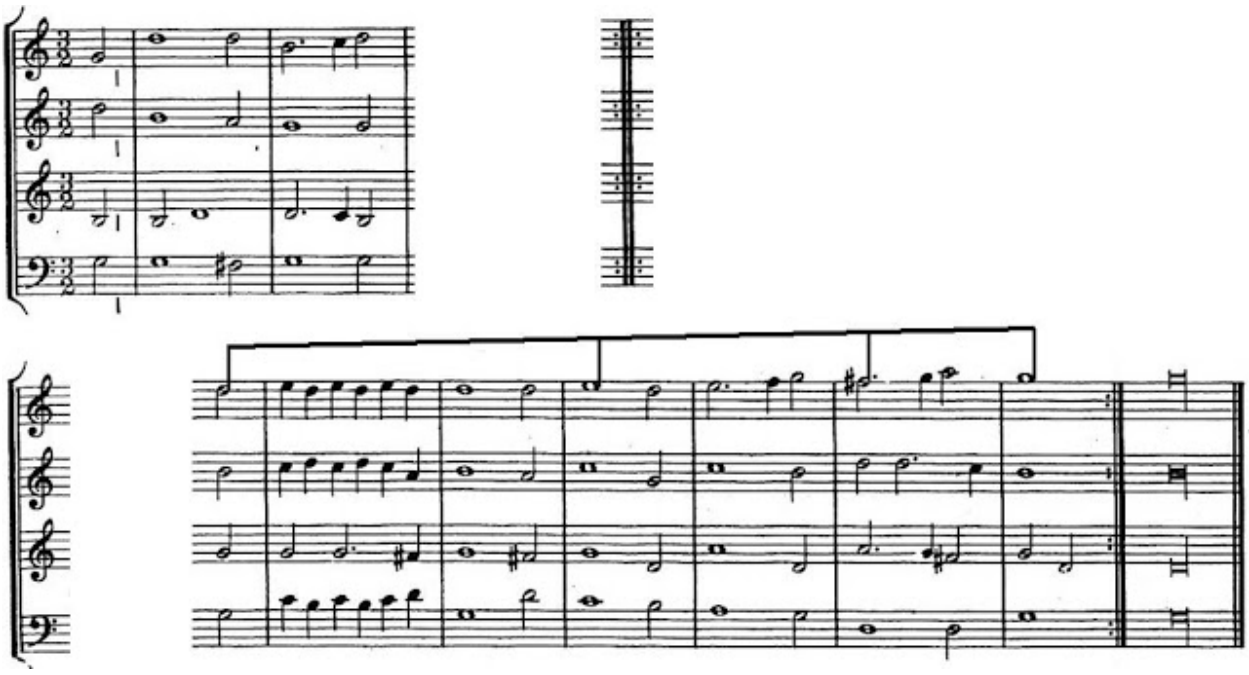
Dorian mode (final G; one flat in the signature). The box shows a simple linear ascent to the cadence on D5. In the second strain, the figure in part or whole occurs four times in a row.



n161: another melody of uncertain authorship. In two sections, where the second has unusual imbricated rising and falling lines, the former shown in the box, the latter in the beamed line.

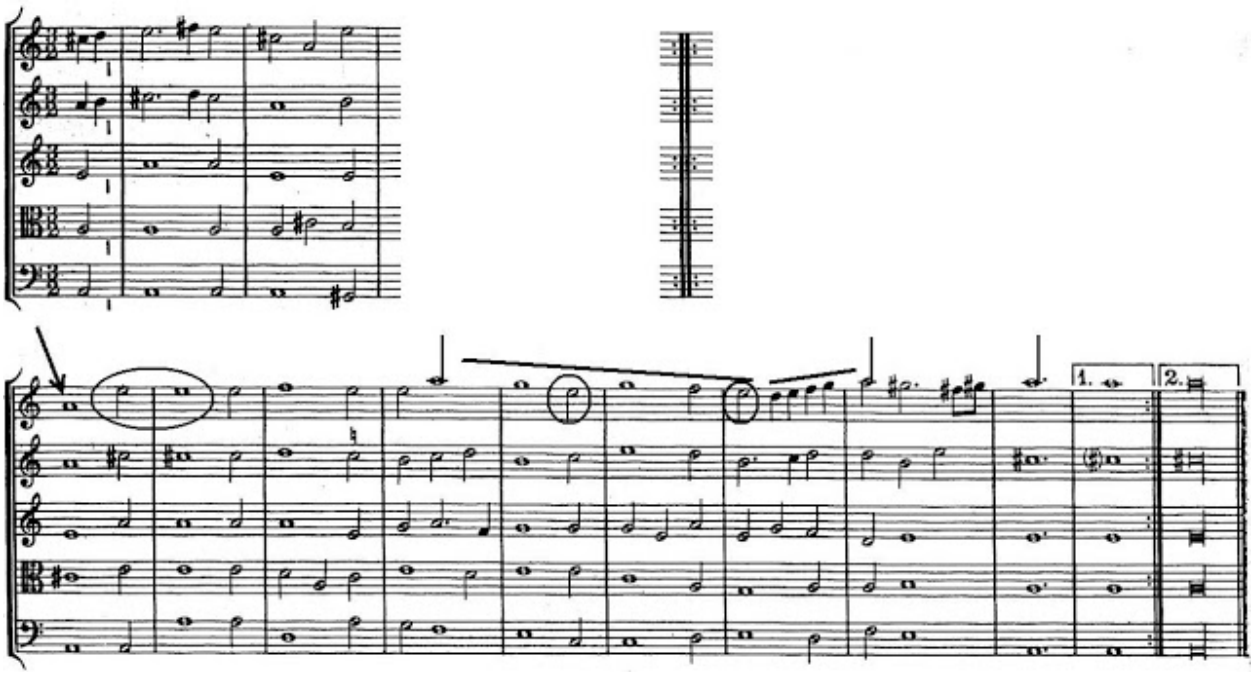


n162: by Praetorius, in two sections. The second is 10 bars long, and another very deliberate linear ascent to the final takes six of those bars.

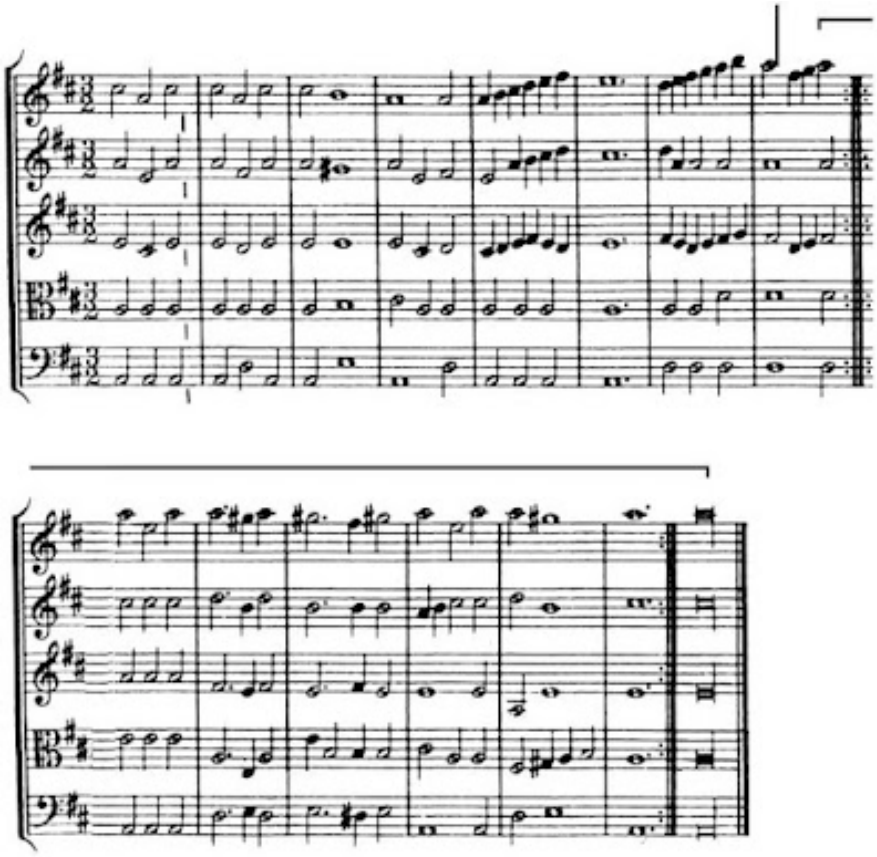


Here is another selection from the many courantes in *Terpsichore*. All but one are in two sections. The focus is now on the second strain where the upper range, usually ^5-^8 in the mode of the final, is reached early and then its top is either maintained to the end or, more likely, the music drops to the lower end of the range, to move upward again in the cadence.

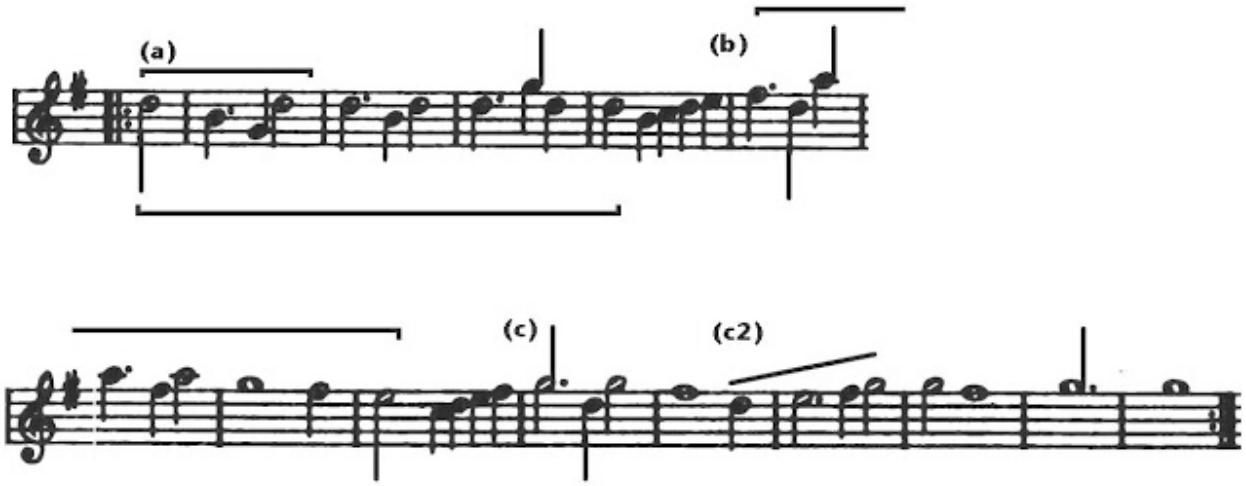
n38: The lower fifth of the Aeolian octave is presented immediately (arrow plus circled E5), then inverted two bars later to the upper fourth E5-A5, within which a clear descent is followed by a quick ascent to the cadence. Note, incidentally, that the courantes do use hemiolas but only very rarely have suspension dissonances in the cadence, in keeping with the simplicity and directness (and perhaps the rapid tempo) of the popular dance these musics served.



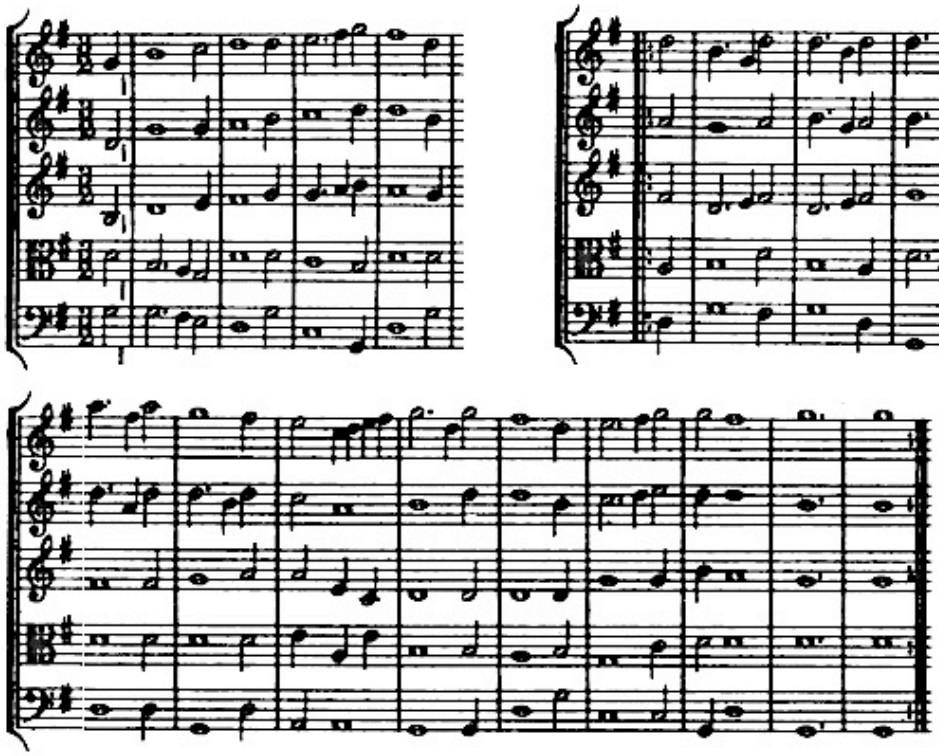
n41: Once A5 is reached in the cadence of the first strain, it is held throughout the abbreviated second strain (only 6 bars, as shown, or more in the manner of a coda or refrain than a separate strain).



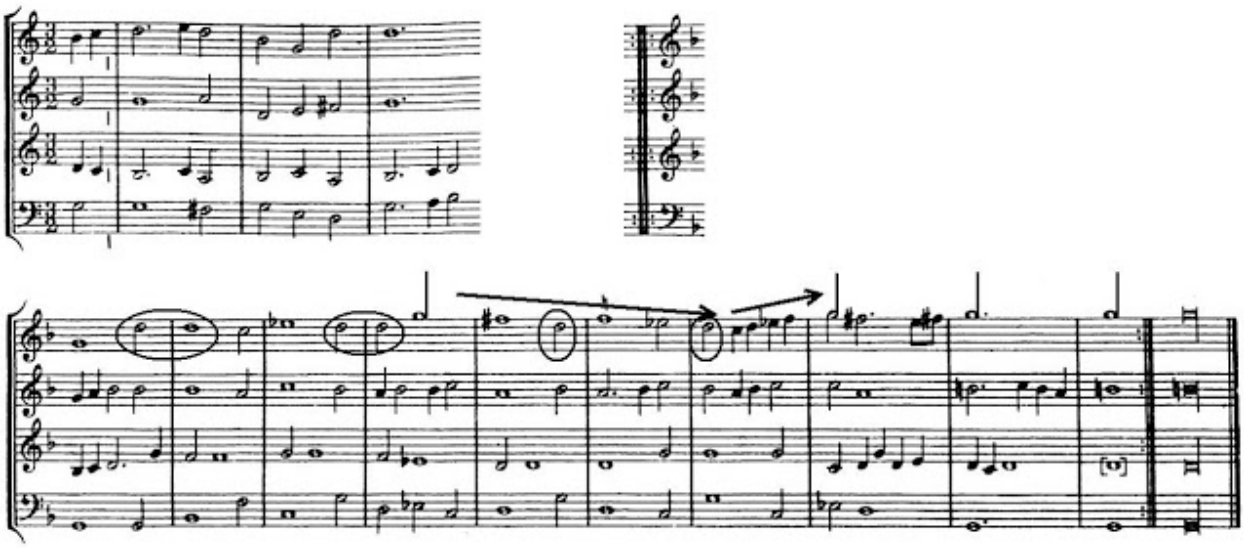
n75: The registral patterning of the melody in the second strain is analyzed below. The score is given under that for reference. At (a), a full triad outline (upper bracket) that persists (lower bracket), then at (b) an abrupt shift upward to D5-A5; at (c) a slight settling back to C5-G5, or as it goes on, really D5-G5, which is filled with a line (at c2) to reach the cadence.



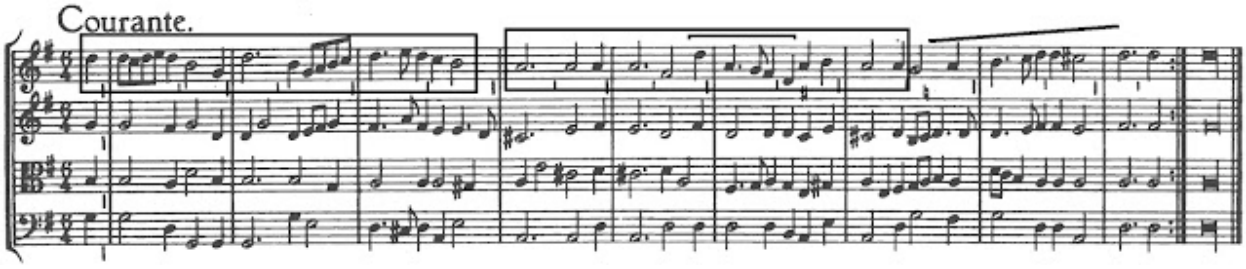
(score for n75)



n104: A shift to minor quality in the second strain, with a fairly leisurely descent/ascent pair that use both F# and F-natural in each half of the figure.

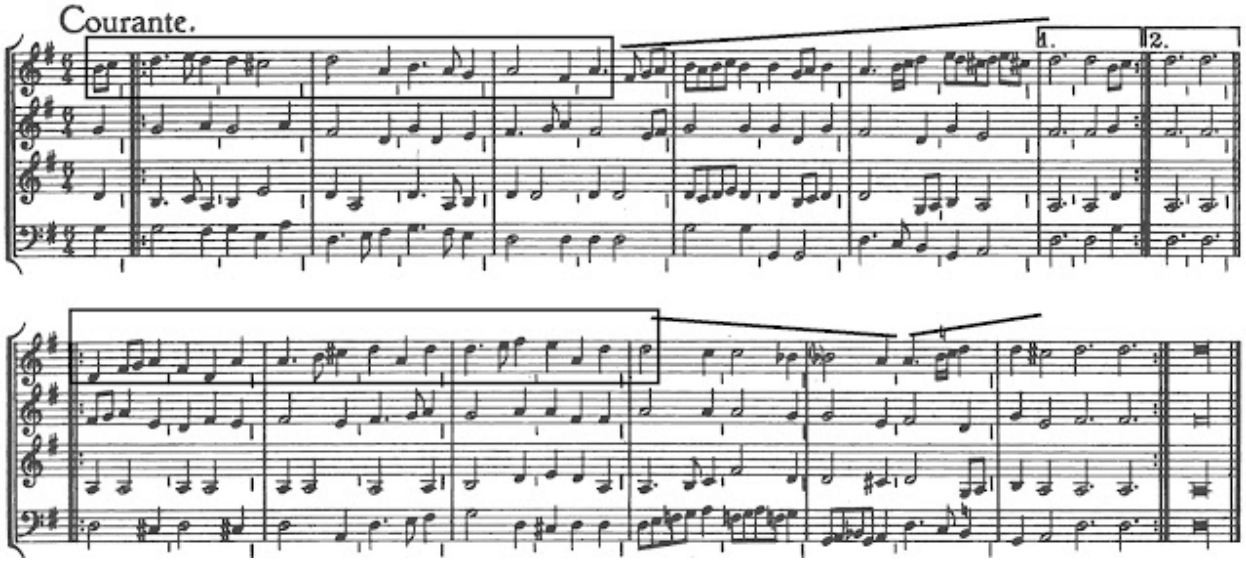


n110: A courante with just one strain. The pattern is similar to that in n75: a triad outline to start, an abrupt transposition of the framing interval, and a cadence. Here the initial triad is also G major, and the second is D major but lower (fourth octave) not higher as in n75; the cadence is to D rather than G, and the ascending line is clear and direct.



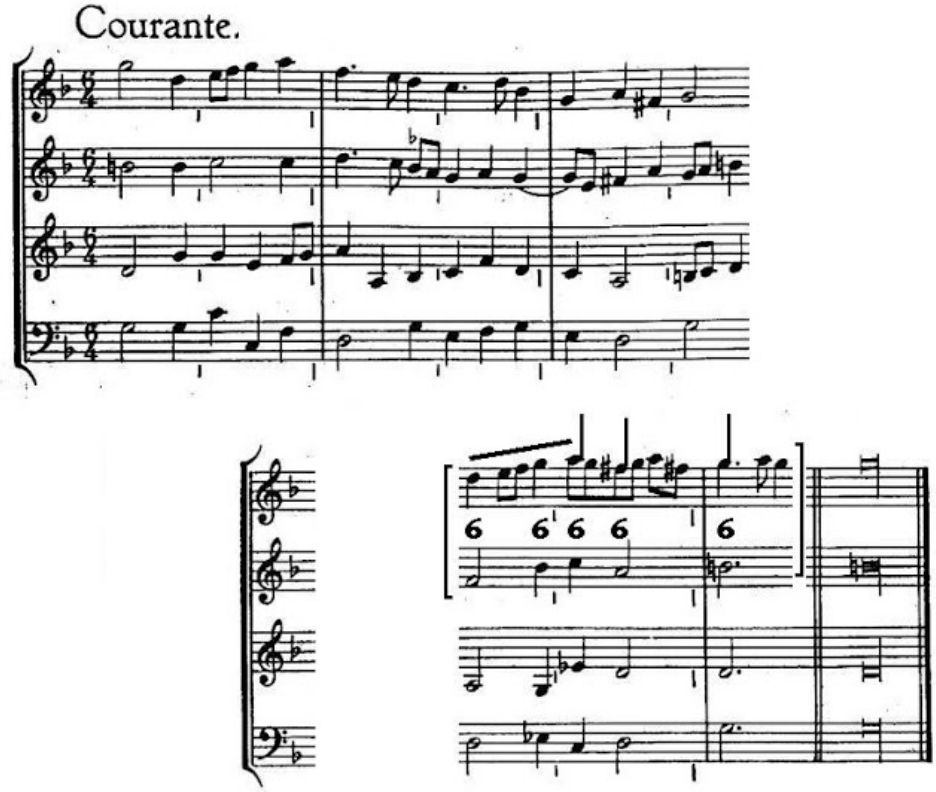
n111: The first strain has features very similar to those of n110, but the space A4-D5 is emphasized almost immediately, and it is the D major triad that is elaborated by bars 2-3. The ascent to the cadence is only marginally longer (3 bars rather than 2 1/2) but is full of diminutions.

In the second strain the D major triad frame is even more obvious (box), and there is a descent/ ascent linear pair leading to the cadence. (The opening on G and close on D reflects a pattern that is not uncommon in the Mixolydian mode, the mode with a G final that is here transposed to D, requiring the one-sharp signature.)

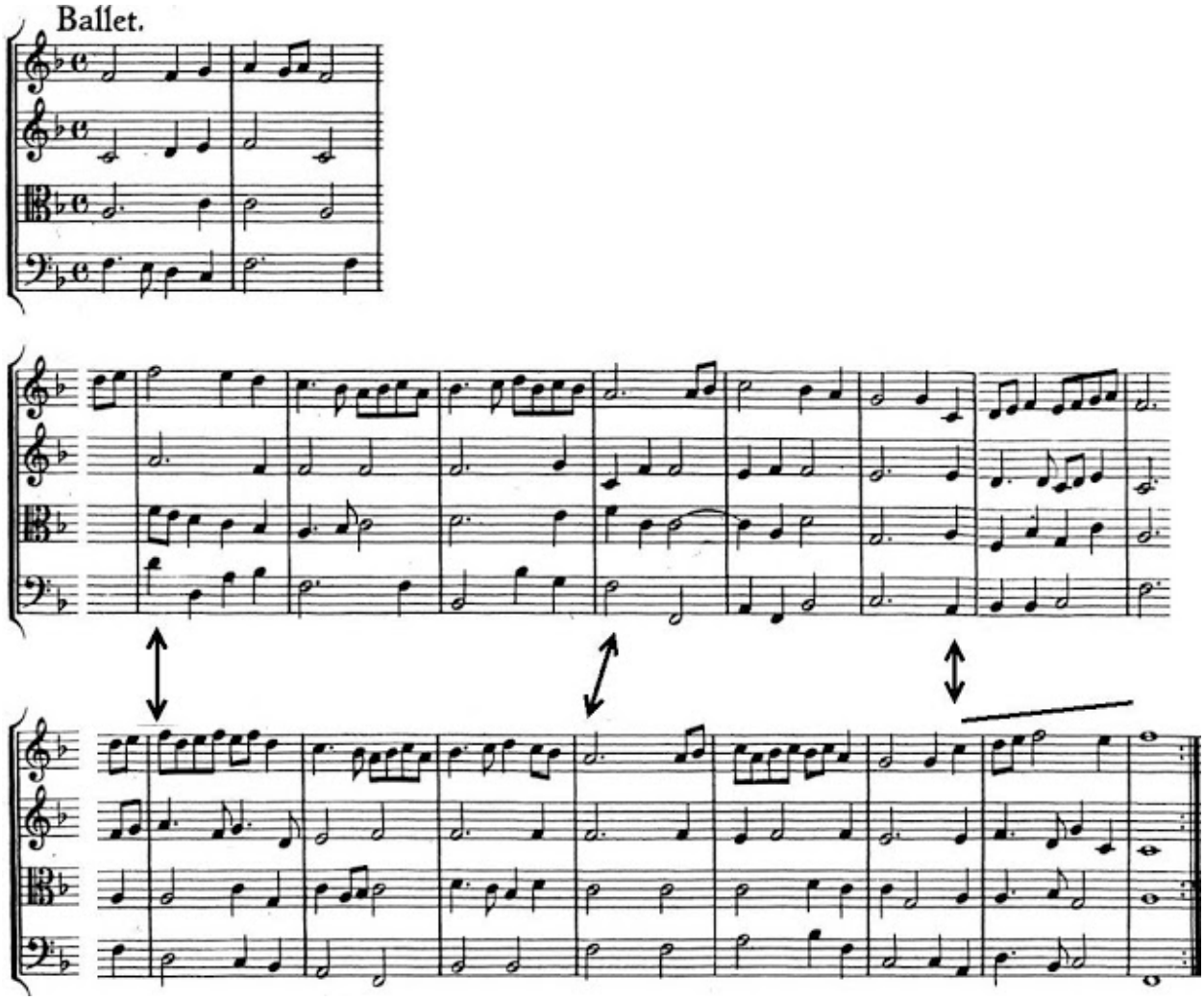


To close out this section, here are two numbers—a courante and a ballet—that share ascending cadence gestures but otherwise are not closely related in design.

n148 is in once-transposed Dorian; it has three strains but none is marked with a repeat sign. The final cadence is unusual in the uppermost voices in its string of parallel sixths. These help us to separate the ground notes from the diminutions in the cantus.



n265 is a three-strain ballet, also without notated repeats. In effect it is really two strains, as the third is a close variation of the second. See below, where the second and third strains are aligned. The point of interest is in the two cadences, the first of which lies (and is somewhat buried) in the lower register, ending on F4, but the second of which is made very prominent by transposition up the octave, ending on the same F5 that started the strain.



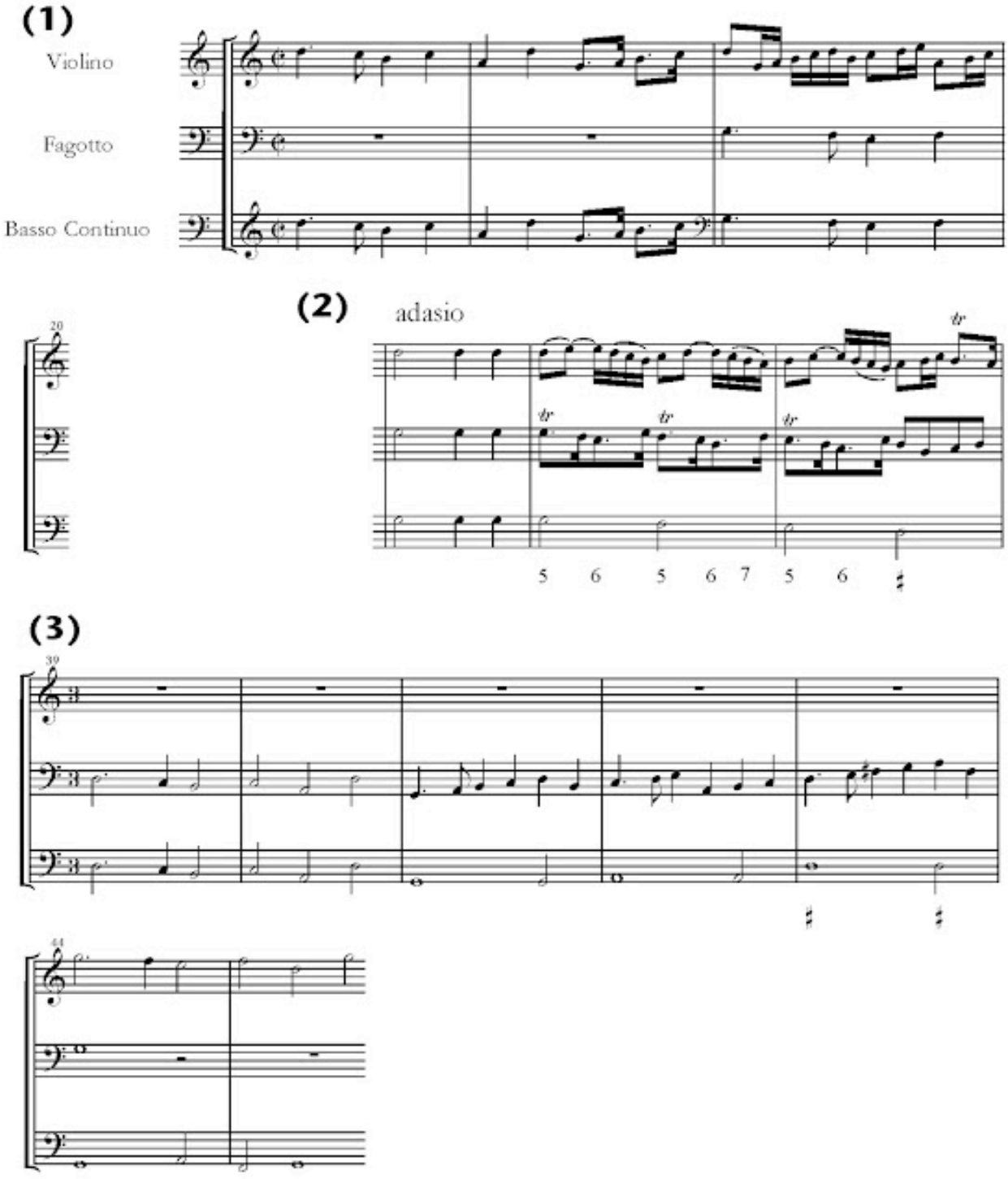
Castello

Virtuosi and improvised counterpoint in the early 17th century. Little is known about Dario Castello, except that he worked in Venice in the first decades of the seventeenth century, that he worked at St. Mark's cathedral, and that he was apparently a virtuoso wind player, probably first of all a bassoonist. In his own time, though, he was quite well known: as Andrew dell'Antonio puts it, "The unusual number of reprints of [his two] books of sonatas is an indication of the popularity and wide diffusion of Castello's works" (*Oxford Music Online*).

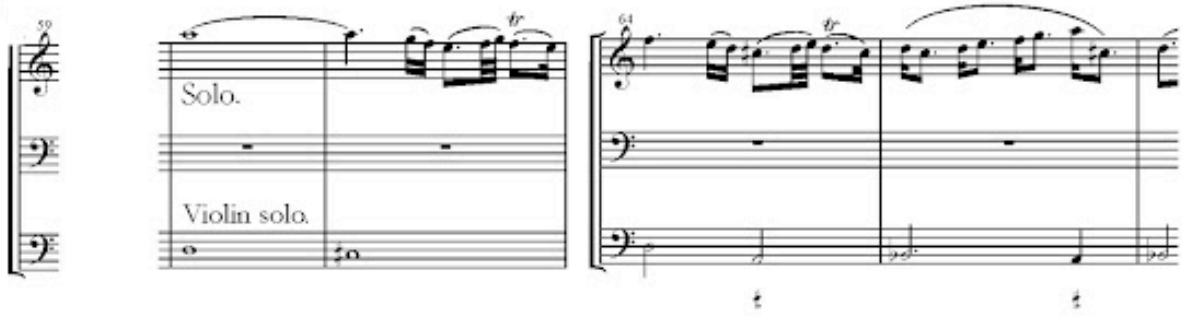
Book 1 was published in1621 as *Sonate concertate in stil moderno, libro primo.* The seventh sonata is typical. Eight sections of varying lengths—but mostly short by modern standards—are typical of the canzona style, as is the continuo bass and virtuosic solo writing. It is from works like this that the sonata da chiesa and the mid-eighteenth century sonata developed.

I first present an overview of the design with incipits for each of the eight sections. After that I look at the closing cadences for same.

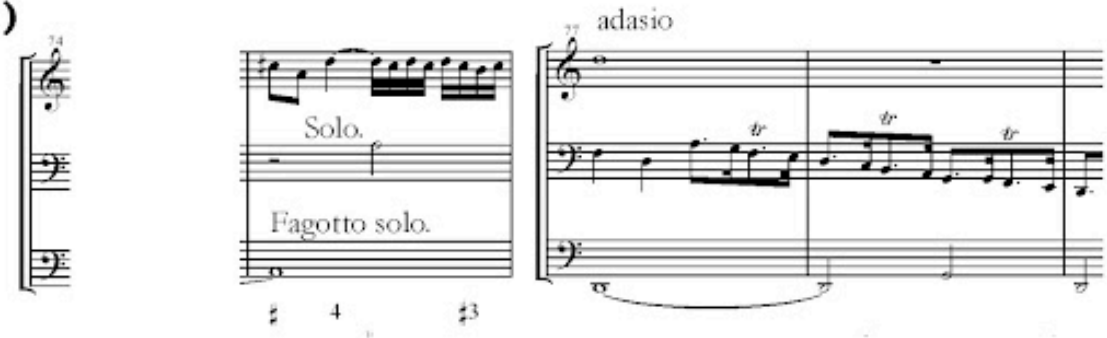
An imitative, "fugue-like" section opens (1), but is interrupted by an expressive ornamented adagio at (2). An extended imitative section in triple meter is next (3), then two solo sections follow, first for violin (4), then for bassoon (5). A short section (6) consisting of elaborated sequences is followed by another "fugue-like" section in triple meter (7) and an elaborate cadenza-like close (8). The opening in duple with a change to triple later on, the fugato work, ornamentation, and elaborate close are all typical of solo musical practices from at least the 1590s on.


(1)
Violino
Fagotto
Basso Continuo
(2)
adasio
tr
5 6 5 6 7 5 6
(3)

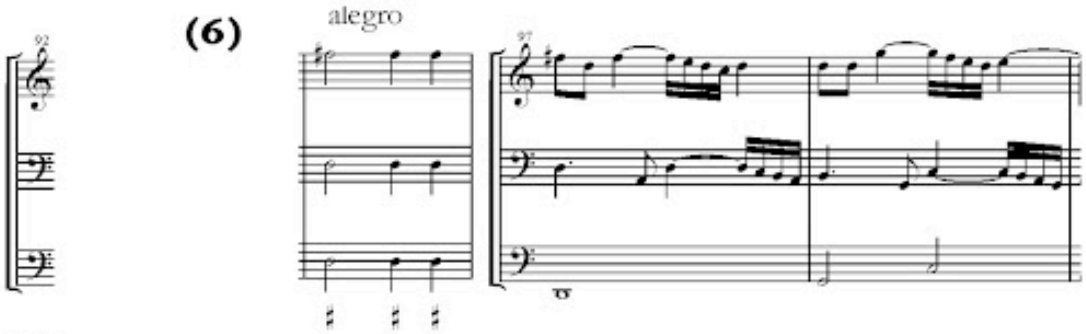
(4)



(5)



(6)



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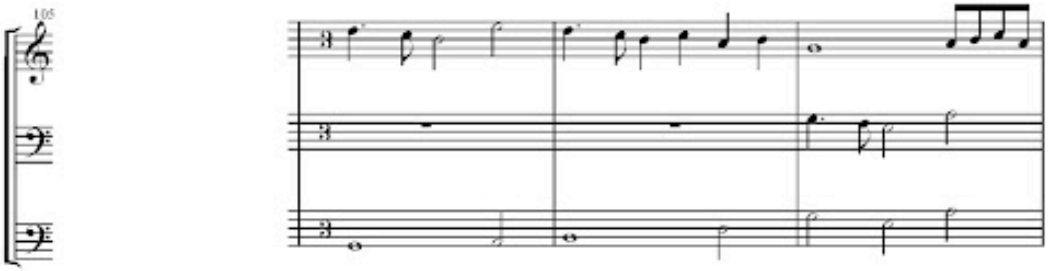

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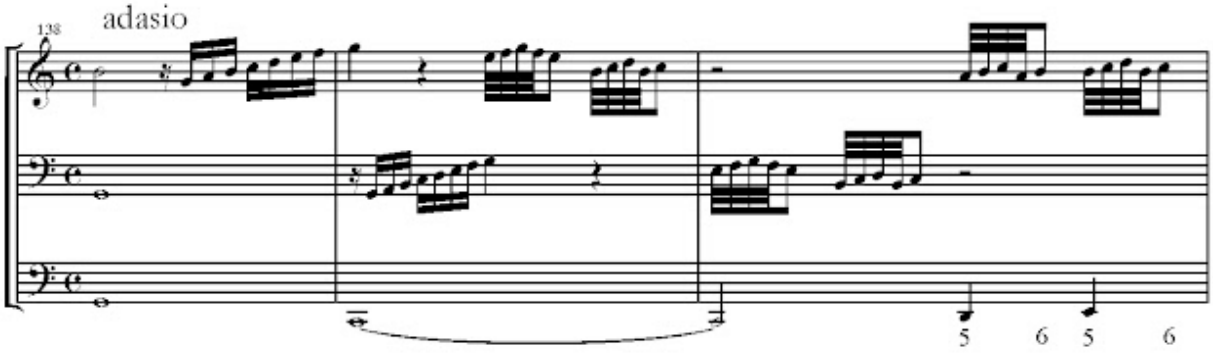
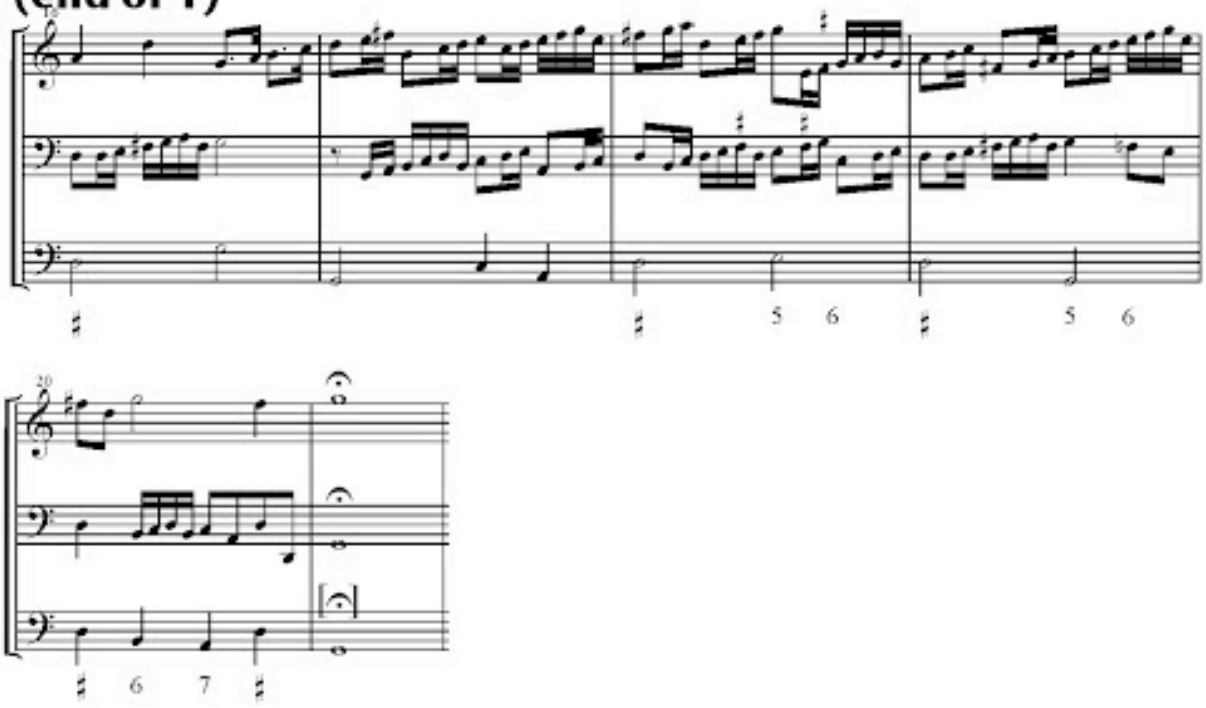


Now for the cadences. The range of the violin is restricted; the topmost significant note is A5: Bb5, B5, and C6 are *briefly* touched on only once or twice in sections 1, 3, and 4. Most of the section-ending cadences show the soloist's tendency—which will only be exaggerated in subsequent generations and centuries—to want to end brilliantly and therefore in a higher, not lower, register. As a result, rising gestures are common. The cadenza perfetta does not appear because the bassoon matches the continuo, and the "three-part rule" of basic counterpoint, where the bass provides the root of the dominant, is followed throughout.

(end of 1)



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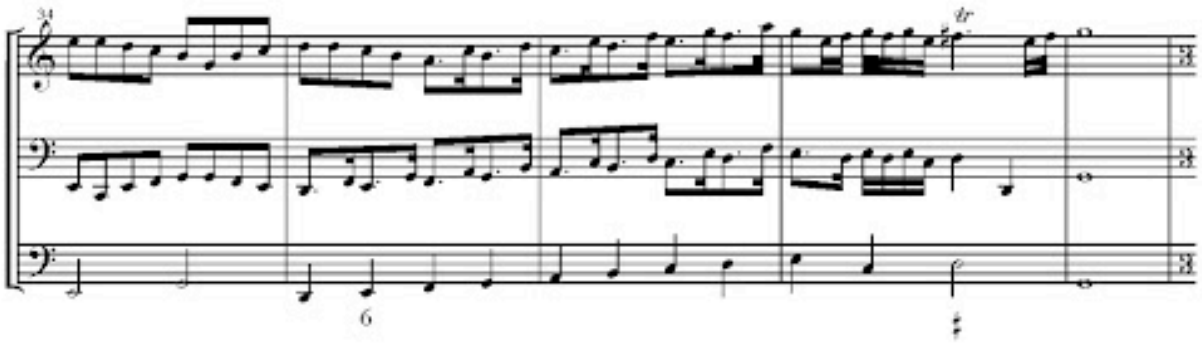

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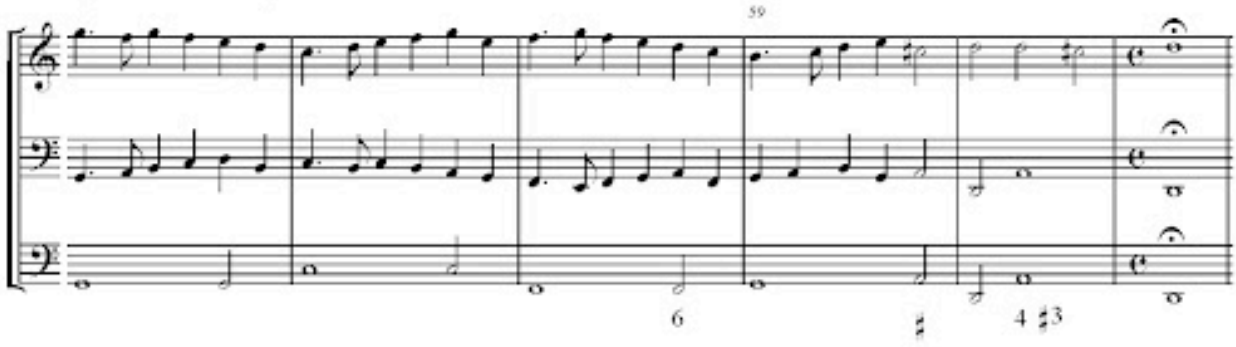

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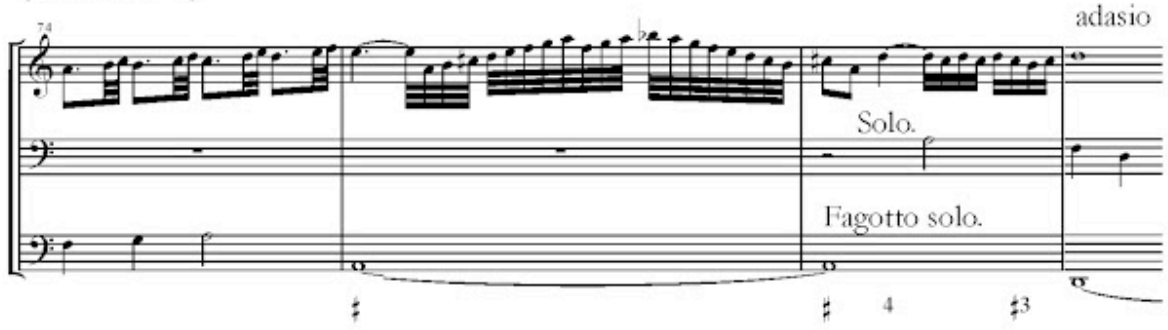

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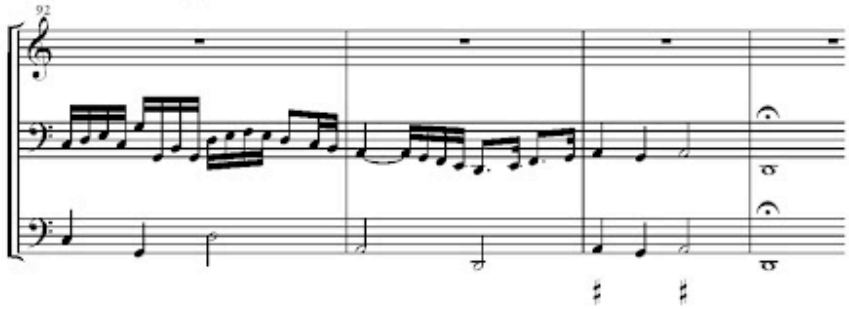

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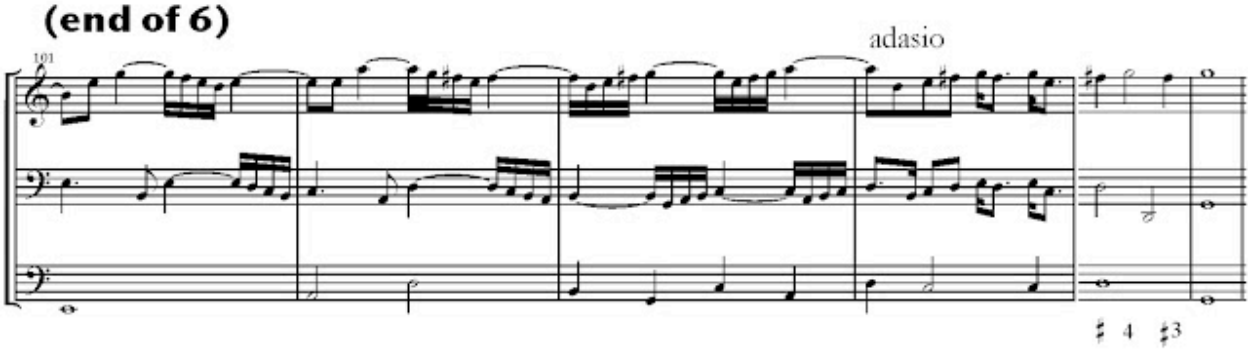
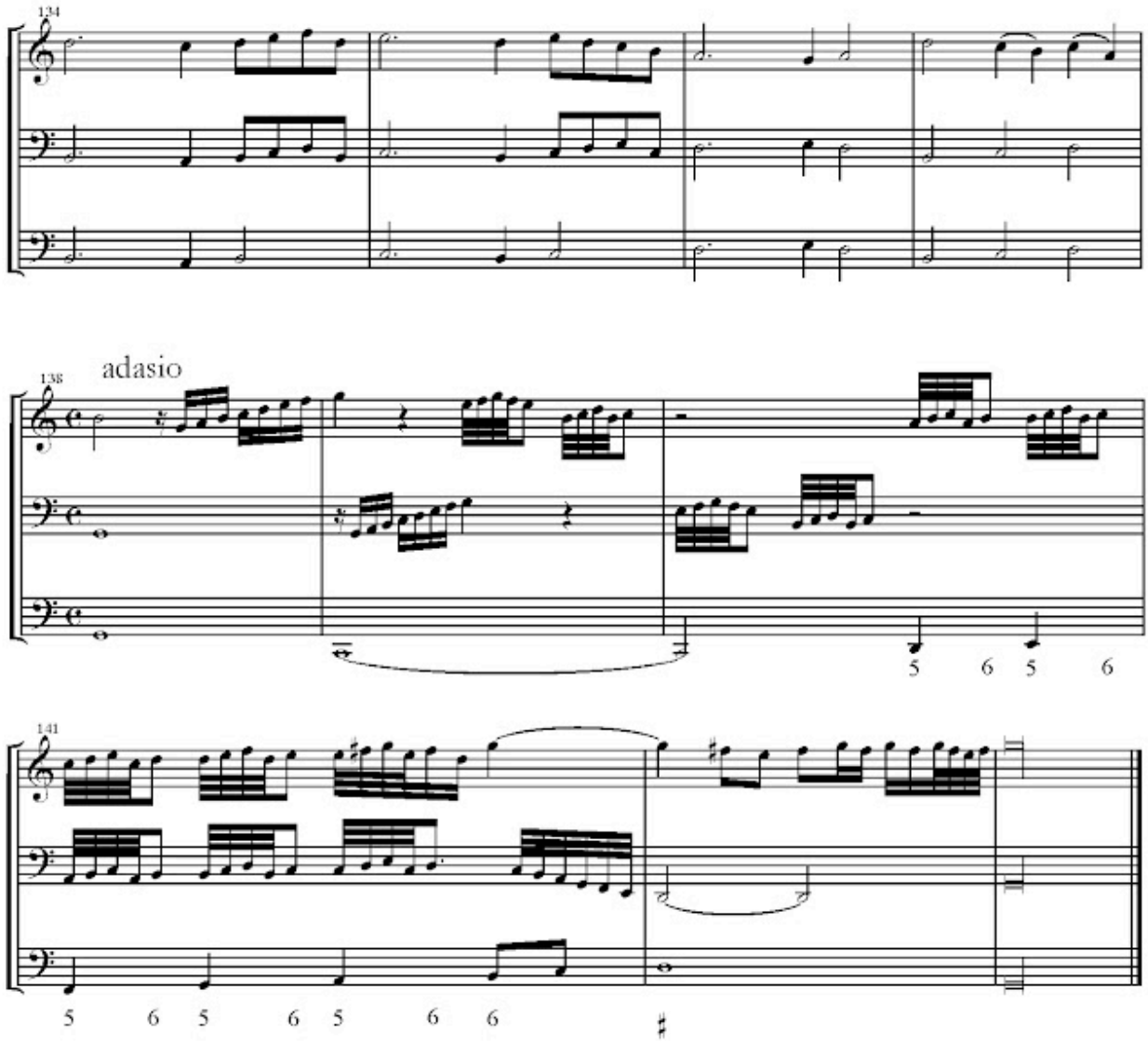
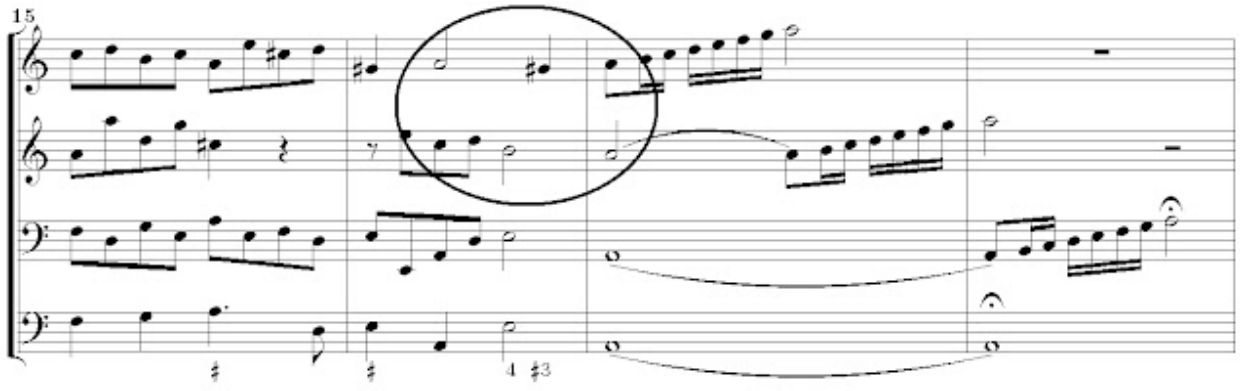


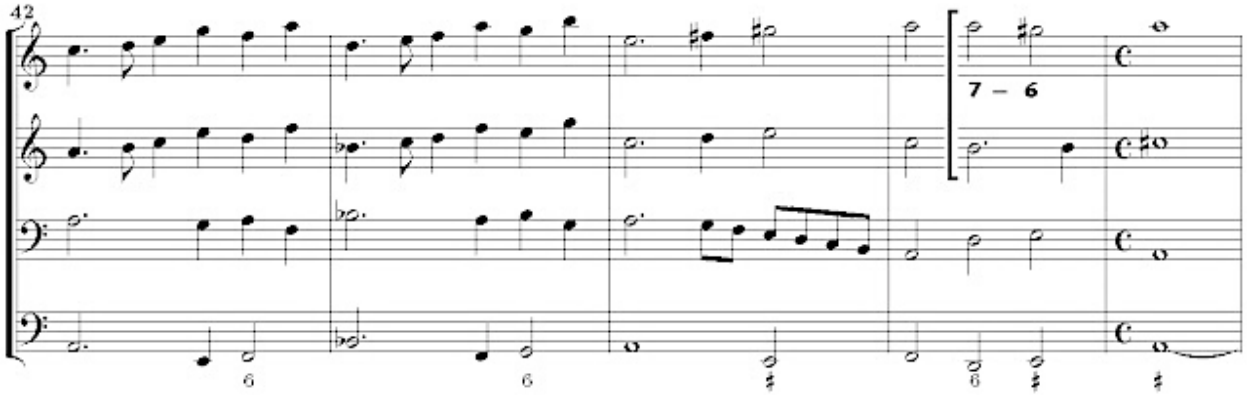
(end of 7; all of 8)



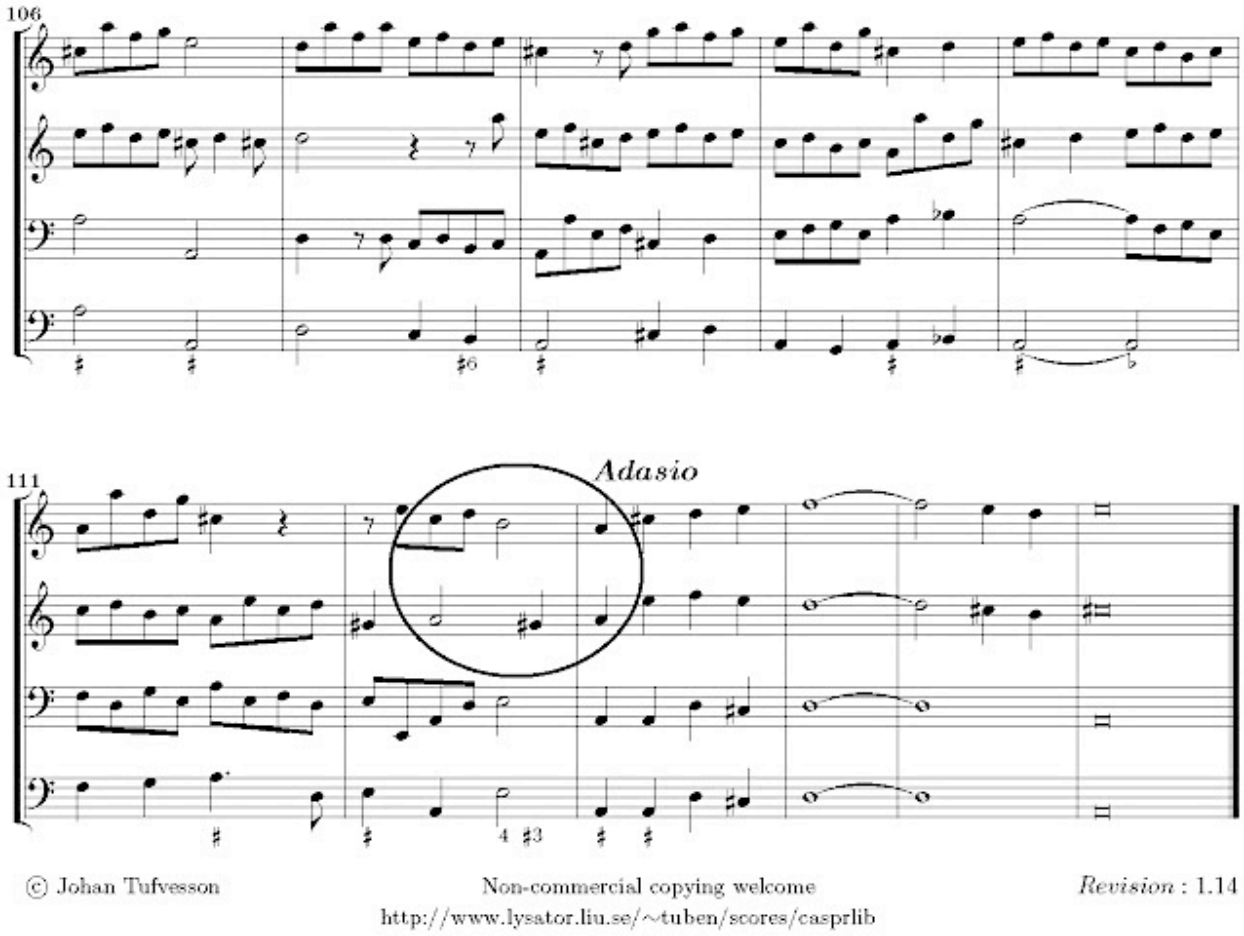
Sonata 10 from book 1 (1621) is for two violins, bassoon, and continuo. Like sonata 7 that I discussed above, it has eight sections. The first section closes with a scalar flourish after the cadence (another feature of soloistic music in this era). Note also the 3-1 cadence (circled) in the two violins—this realizes the "three-part rule" that I mentioned above: cadenza perfetta in the upper voices, root of the chord in the bass.



A triple-meter imitative section—similar to the one in sonata 7—does close in the upper register. Note the cadenza perfetta in the two upper voices, and the C# (as ^#3) rather than A (as ^1), breaking the cadence in order to supply a third for the final chord.

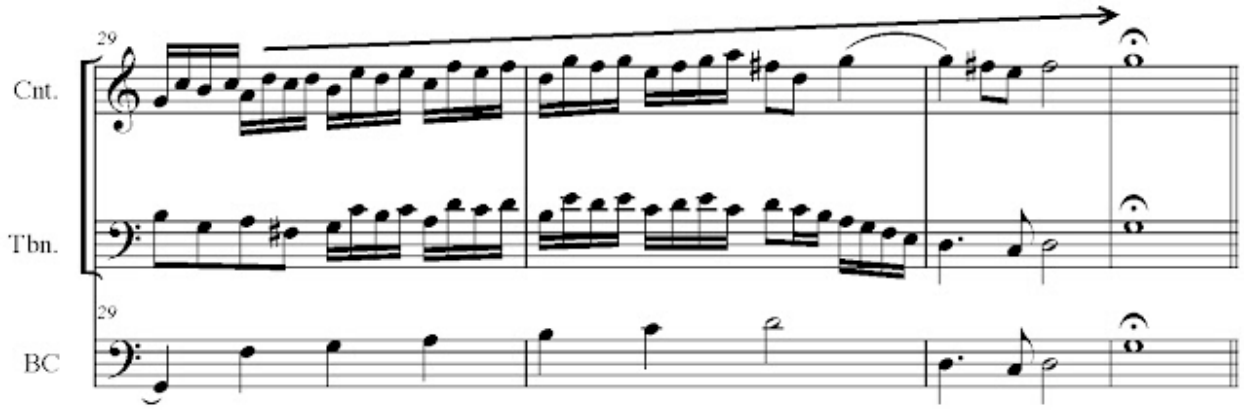


The ending of the sonata repeats the cadence of the first section and adds a block-chord adagio that is very likely to have been heavily embellished in performance, perhaps resulting in something that sounded similar to the written-out ending of sonata 7.

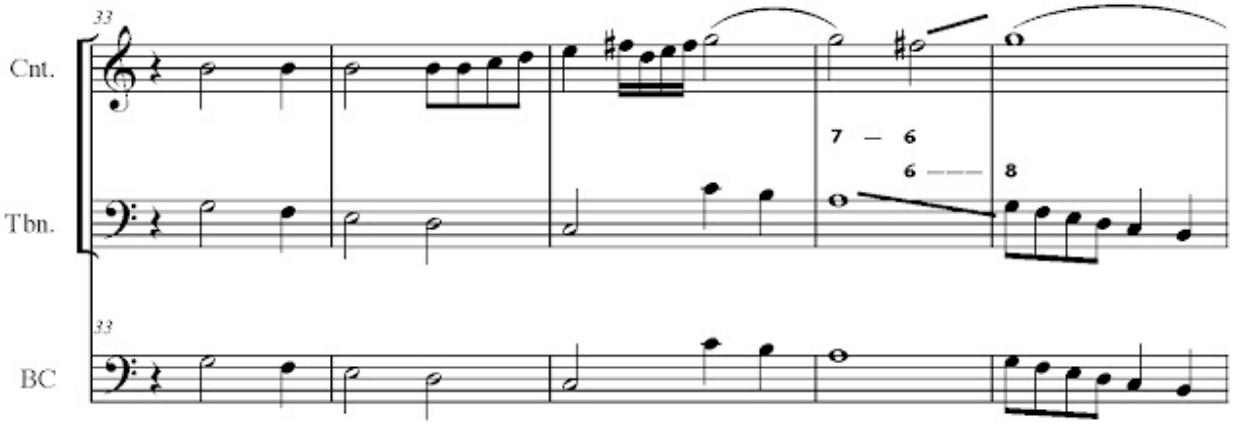


Book 2 of Dario Castello's *Sonate concertate in stil moderno* was published in 1629. The fifth sonata is for winds: solo cornet and trombone with continuo. The pattern of soprano and bass instrument that we saw in sonatas from Book 1 continues, as does the treatment of the bass solo as largely an ornamented version of the continuo part. The overall design is very similar to the sonatas we have already looked at (nos. 7 and 10 from Book 1). Like those pieces, this sonata has eight sections: a fugal section in duple time is followed by a short homophonic section [probably meant to be an adagio, though it's not marked] and another fugal section; next are two solos, first for cornet and second for trombone, a fugal section in triple meter, a short section in sequences, and a closing adagio that begins in imitation but quickly turns into a cadenza.

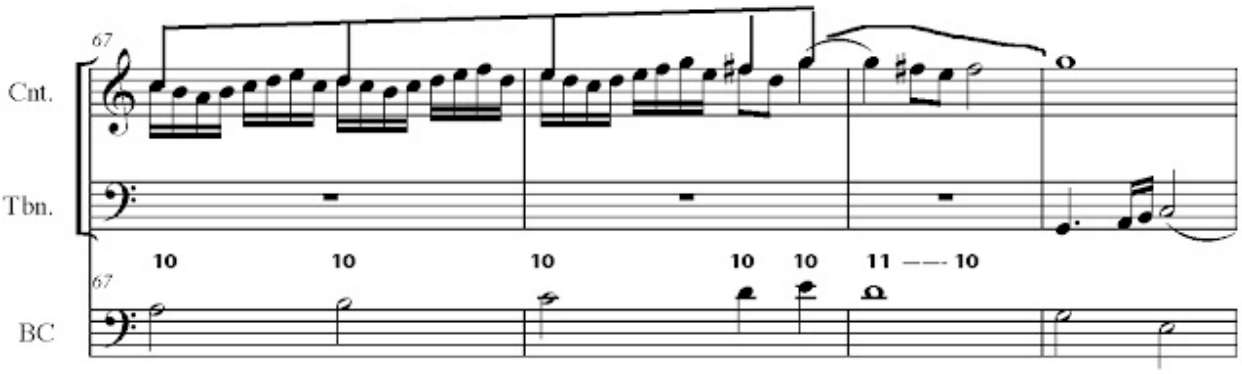
The points of interest include the closing cadence of section 1 and its approach, which is the most extended and direct that I have seen in Castello's sonatas (but see also the end of section 4 below).



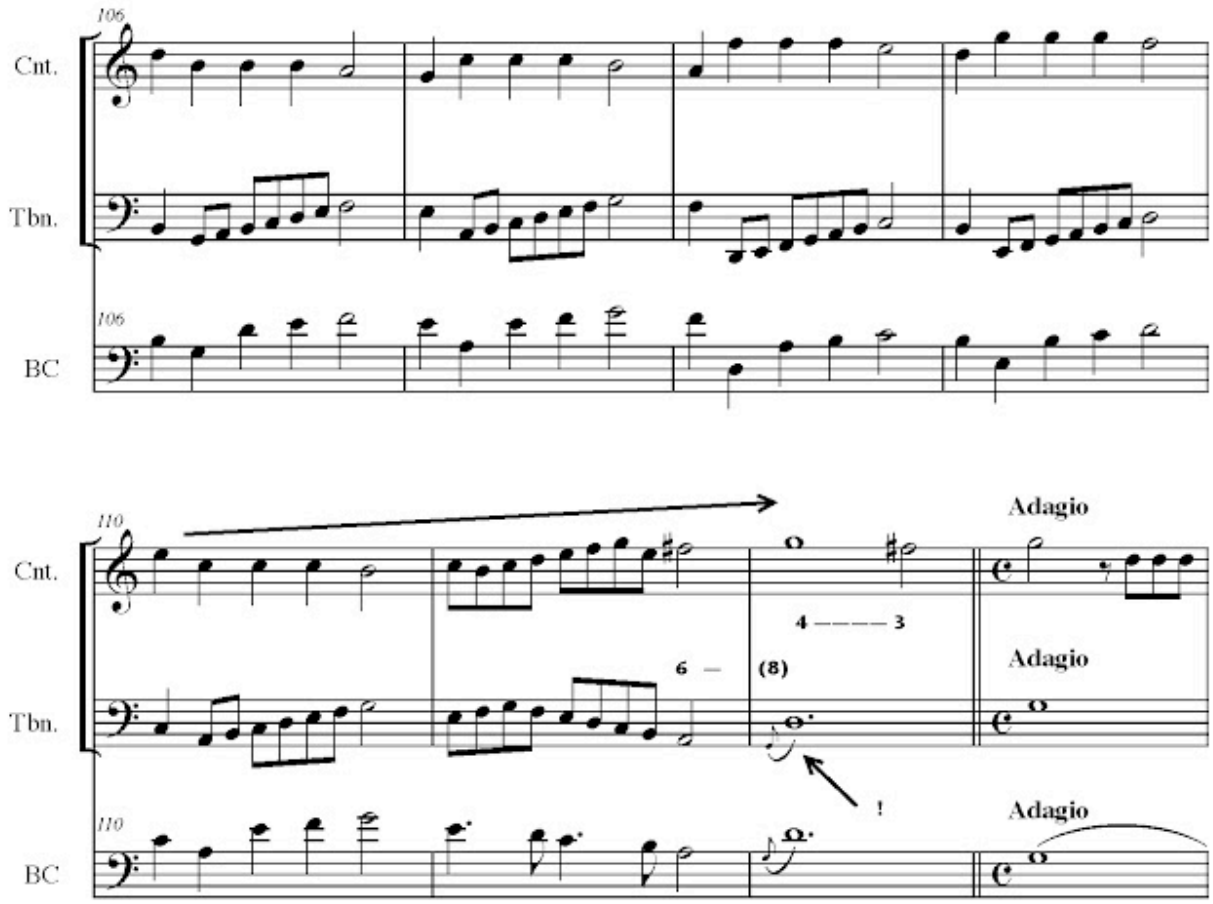
Within the brief section 2, there is a rare 6-8 cadence:



The end of section 4 is similar to that of section 1, but this time note the firmly marching parallel tenths between the continuo and the solo cornet.



Finally, a curiosity: the cadence ending section 7 and leading into the final adagio attempts to combine the cadenza perfetta and the cadence with 4-3 suspension. Presumably performers would have understood ways to manage this that were more musically effective than the written notation.



Van Eyck

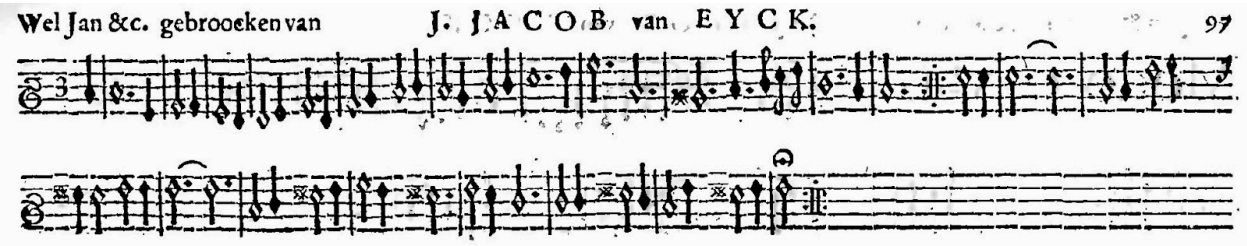
In the 1640s the Dutch flutist Jacob van Eyck published a pair of remarkable volumes called *Der Fluyten Lust-hof: vol Psalmen, Paduanen, Allemanden, Couranten, Balletten, Airs, &c. Konstigh en lieslyk gefigureert, met veel veranderingen*. As the subtitle announces, the pieces -- all for solo flute (or solo treble instrument) -- range from Calvinist psalm tunes and well known chorales (such as *Vater unser in Himmelreich*) to dances and popular tunes. All of them are dressed with "divisions" (diminutions, or the technique that "breaks" a long note into smaller notes), most with multiple versions (*met veel veranderingen*).

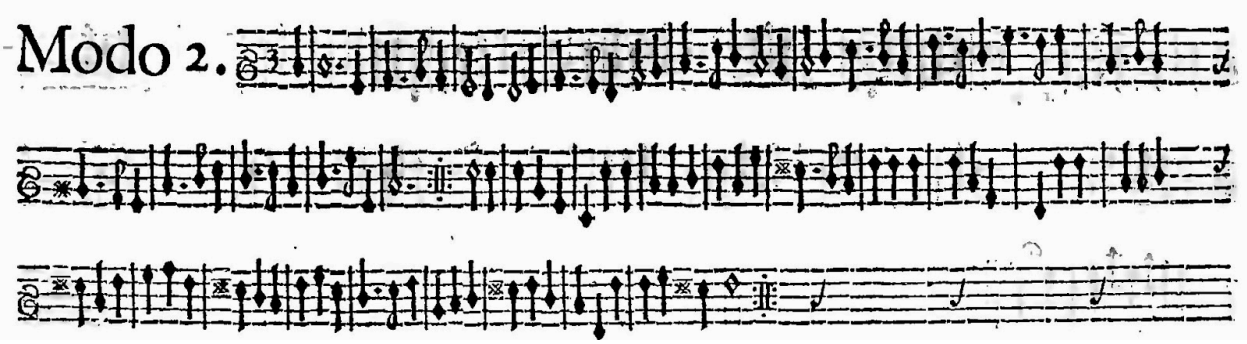
A small number of the tunes have cadence gestures that rise from ^7 to ^8, and several have long-range linear figures that fit one or another model focused on ^8 or on rising from ^5. The first example is the simplest, *Wel Jan*, whose complete title is "Wel Jan wat drommel," roughly "Okay Jan, what about it?"[3] There are two variations. The tune is reproduced below, along with

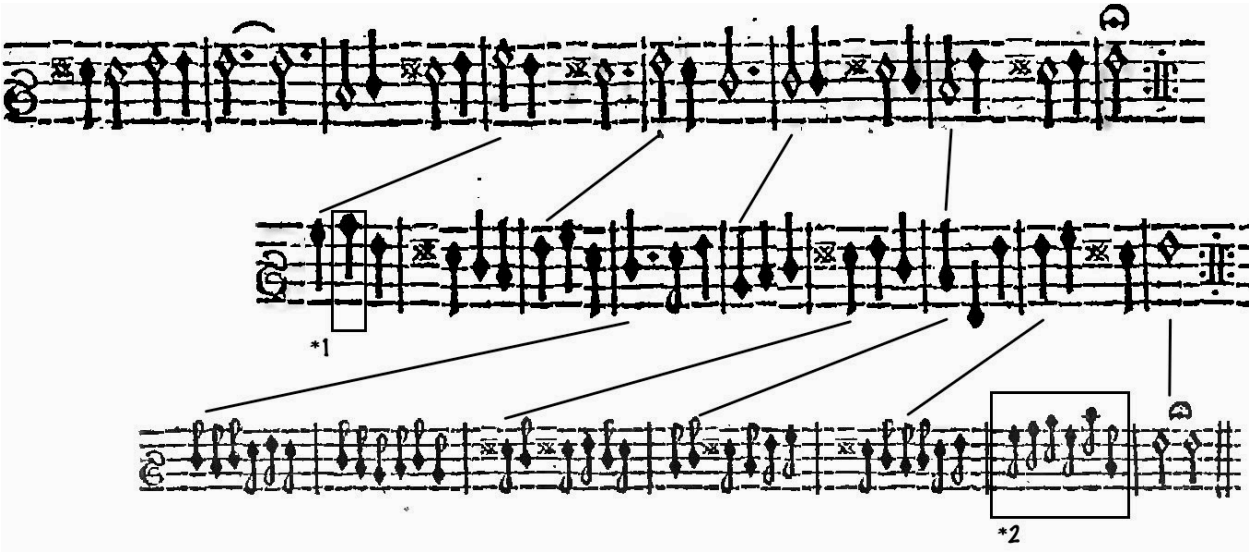
[3] Reference for the title: Jacob van Eyck, *Der Fluyten Lust-hof*, edited by Winfried Michel and Hermien Teske (Winterthur: Amadeus Verlag, 1984).

the first variation. (The second variation uses eighth-note divisions.)

An interesting comparison may be found in the endings of the theme and the two variations -- these are shown in the final figure below. Note at *1 the origin of a ^3 as an escape tone diminution of E5. Note at *2 that to finish with a final flourish van Eyck adds a bar not in the theme; it is only in this bar that an upper ^2 arises, clearly as an extended ornament of the original cadence.

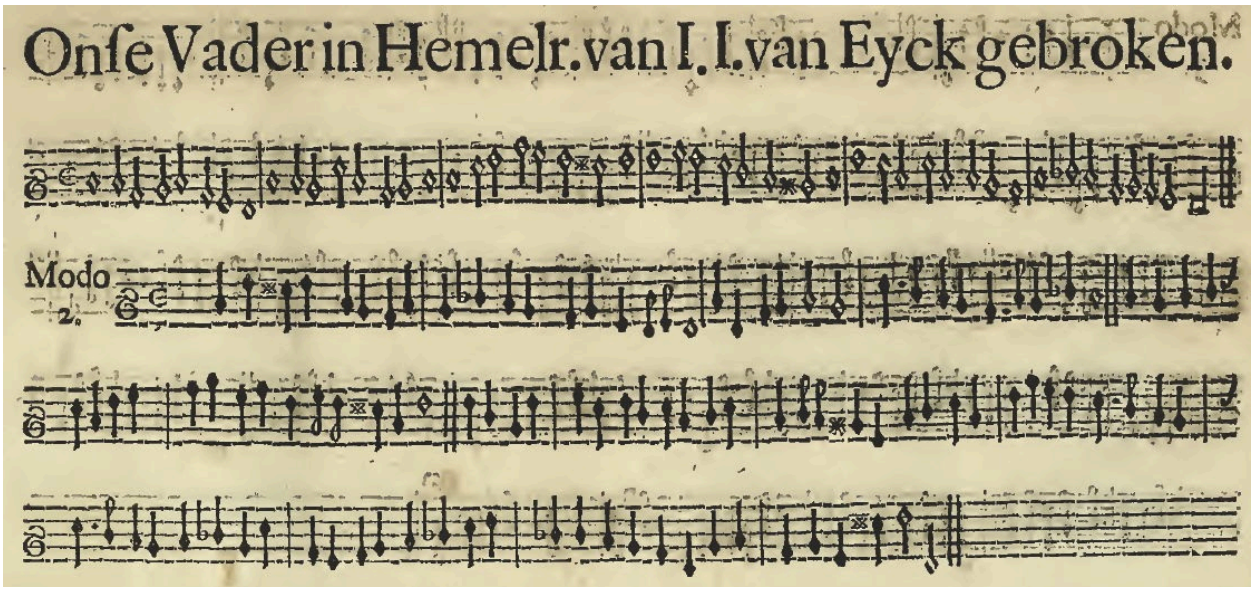


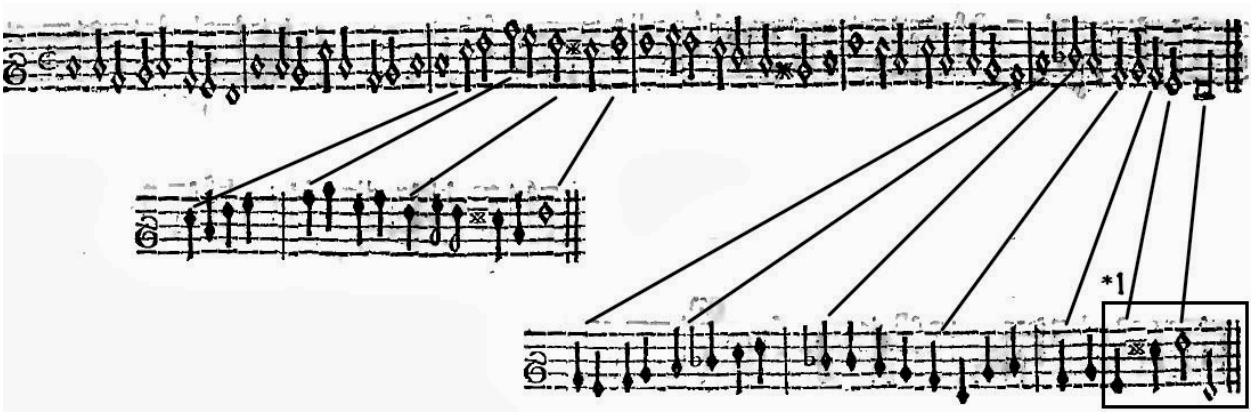




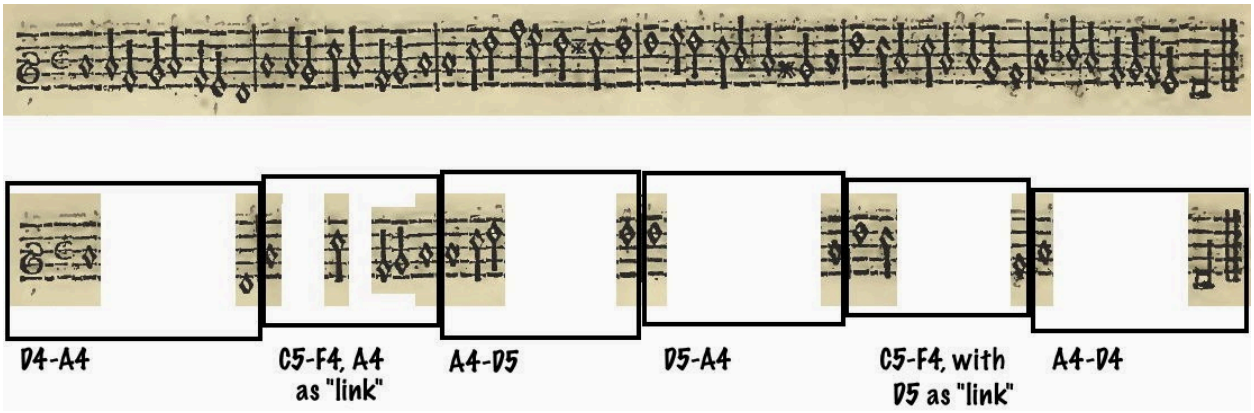
Reference for the title: Jacob van Eyck, *Der Fluyten Lust-hof*, edited by Winfried Michel and Hermien Teske (Winterthur: Amadeus Verlag, 1984).

The Lutheran chorale (derived from a chant melody) "Vater unser in Himmelreich" is "onse Vader" in the *Fluyten-Lusthof*. See the melody and van Eyck's first variation below. Note that his word for "diminished" is "gebroken," literally "broken." The variation holds closely to the melody but does introduce one interesting feature: at *1 in the second graphic, Eyck uses his diminution to realize the *clausula vera*. It's an unusual figure as a diminution; my guess is that he was making a reference to the upper register of the melody, reached most emphatically in the cadence of the second phrase.

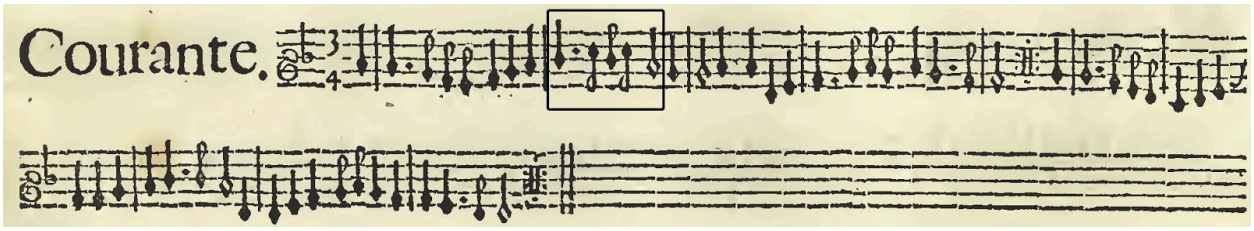




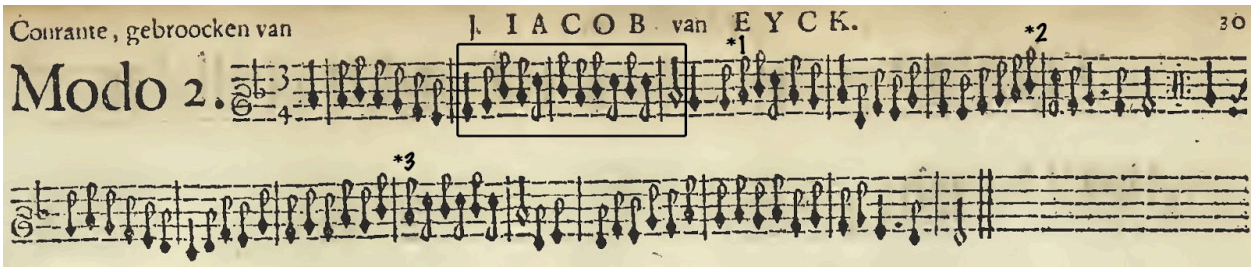
If my guess is good, then we can assert that van Eyck was sensitive (and, really, why shouldn't he be?) to the arch and palindromic shape of the chorale, which moves its way gradually up, then down, a set of framing intervals. A glimpse of "Himmelreich," perhaps?



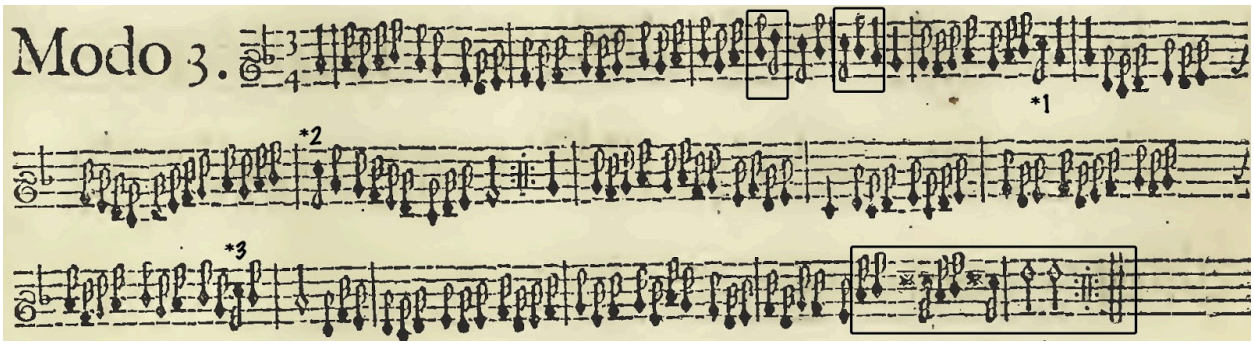
A Courante, no. 24 from the first book of the *Fluyten-Lusthof*, may serve as a counter-example to *L'Avignone*. The tune clings throughout to the lower fifth of the modal octave, or D4-A4. In this context, Bb is an expressive expansion as neighbor to A -- see the boxed figure.



In the first variation, Bb is further embellished by C5, a "one-too-far" style of expansion that should be familiar to you by now. Significantly, this gesture is repeated -- see *1 and *3 below. At *2 the C5 even reaches an accented position and acts as the upper fifth for the cadential F4.



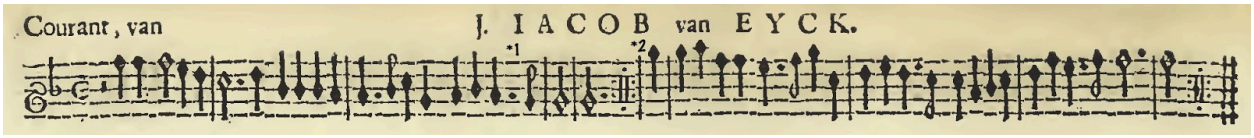
Van Eyck might have exploited the extensions of the second variation, but in fact in the second variation he holds close to the first one. In the two boxes on the first line below, note the upper third embellishments of Bb and A, the former generating the first D5 in the set. The third box (at the end) contains the surprise: a sudden flourish carries the final cadence up to that D5, rather than down to the D4 of the tune. We should not try to interpret this as the unveiling of a rising *Urlinie*, but rather as a variant of the cadenza-like flourish we have already seen van Eyck employ several times in closing cadences. Here it realizes the ^7-^8 always implicit in the background of a ^2-^1 cadence, but, although the upper fourth is introduced in a dramatic fashion, the lower fifth clearly has priority.

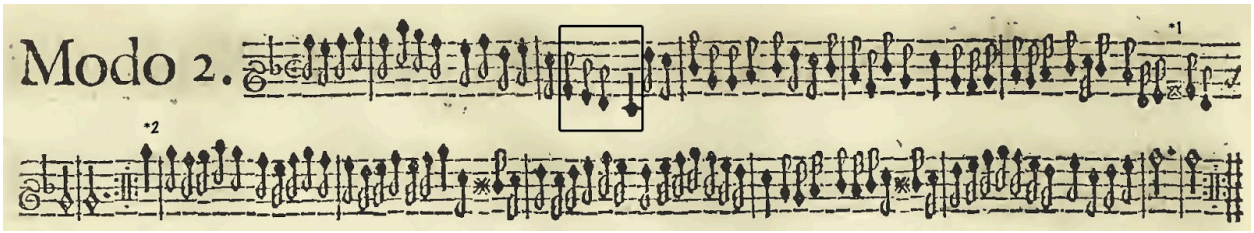


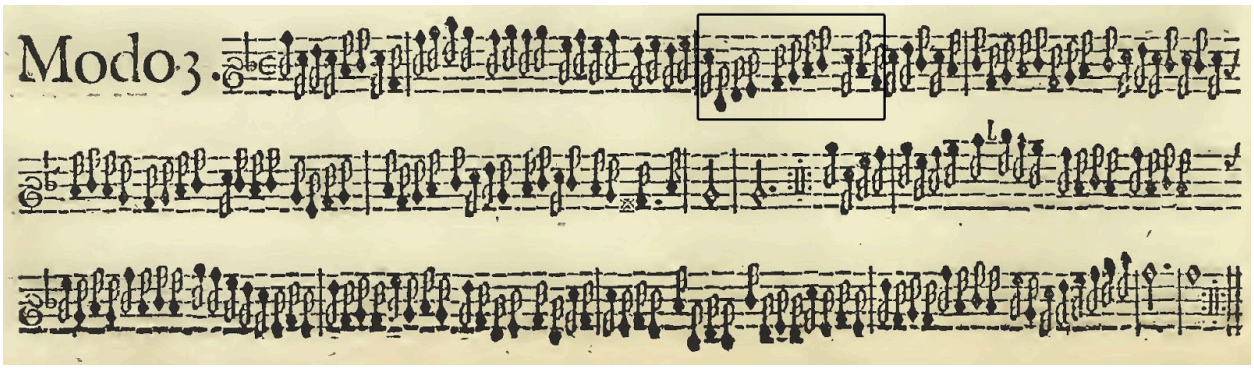
While looking through Winfried Michel and Hermien Teske's edition of *Der Fluyten Lust-hof* for information about van Eyck's titles, I noticed a Courant that I had missed in earlier searches for rising cadence gestures. No. 33 in vol. 1 is a rare Courant in duple meter (so the editors say, 61). The theme is firmly set on F5 as the upper end of the transposed Ionian ambitus, but the melody's lower end is less certain: it would appear to be A4 but that stretches down to G4 for the cadence of the first half (see *1), perhaps suggesting an implied octave F4-F5. In the variations, van Eyck does finish out the octave (at F4) and then further extends that down to C4 (see the boxes).

The overall point to be made about this is that van Eyck respects the "downward" focus of the tune by embellishing lower and lower and almost entirely avoiding the register above F5, despite the invitation of the G5 that opens the second half (see *2).

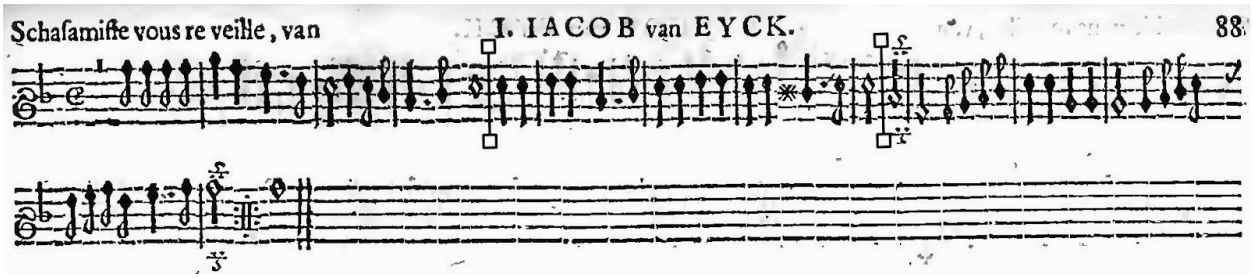
A curiosity is that van Eyck turns the obvious half cadence ("obvious" if one is thinking F major, that is) into PACs in G minor in the two variations, thinking more appropriate for a modal conception.



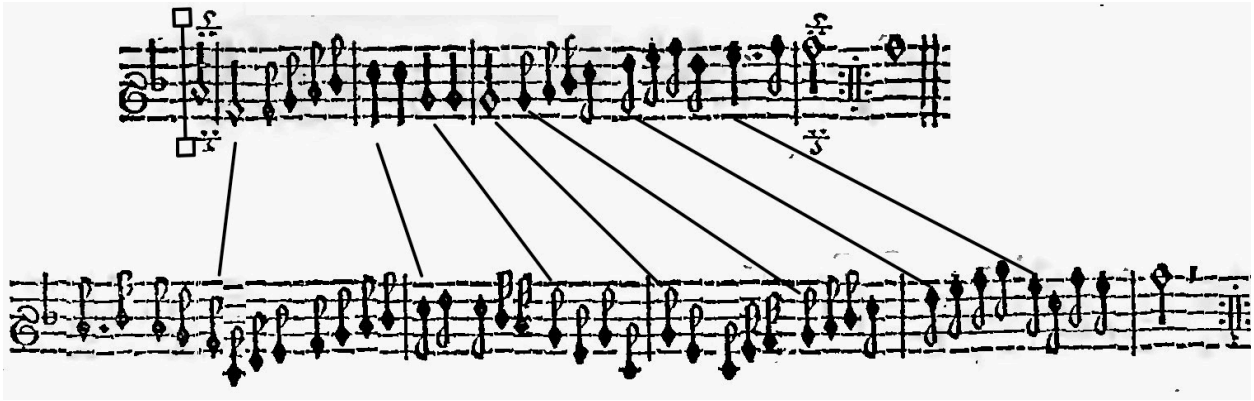




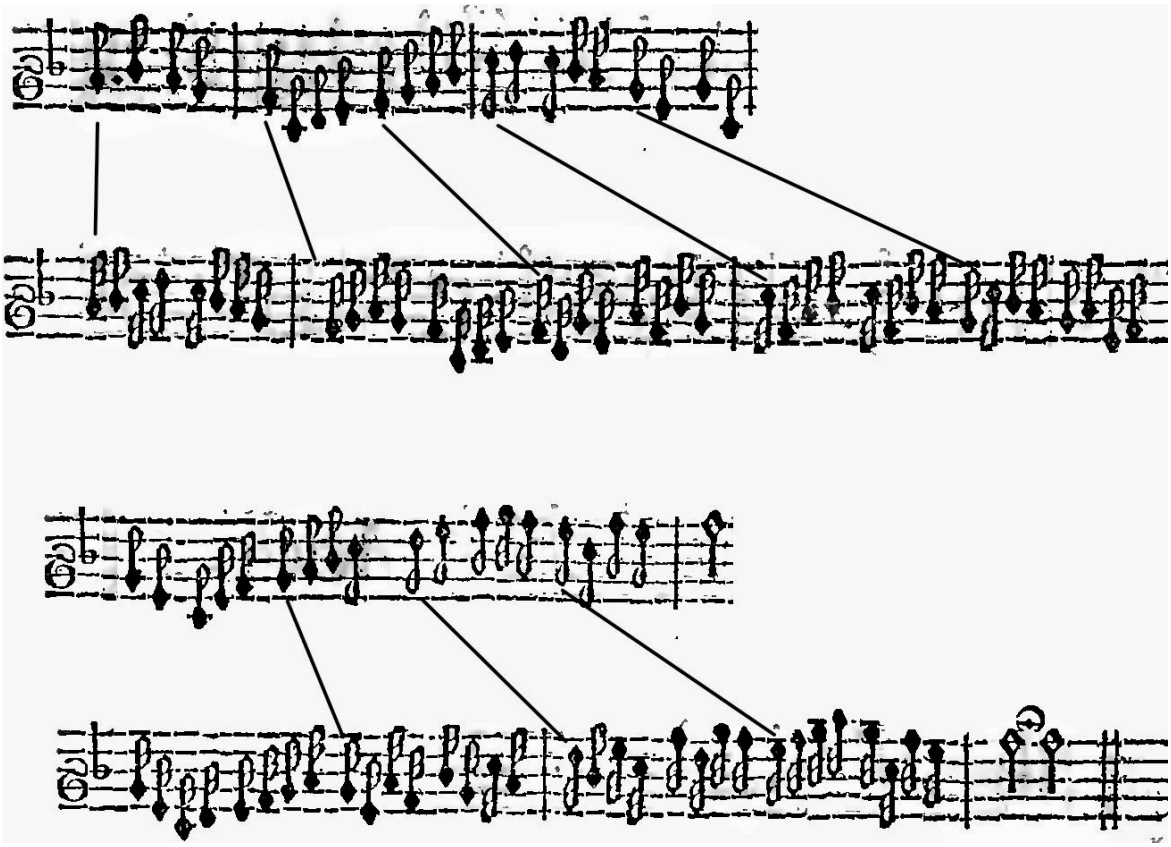
"Schasamisie vous re veille" (roughly, "Sweetheart, wake up") has four phrases, the third being repeated to make the fourth. See the phrase markings in the theme below.



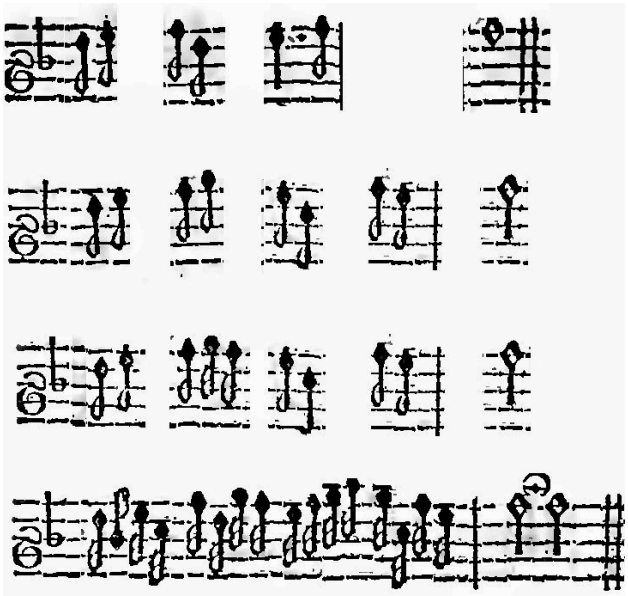
In the first variation, the third phrase is played as in the theme, but then its repetition is diminished. See below, the diagonal lines aligning the two phrases. In the second last measure, G5 is introduced as an escape tone -- the step up/third down figure (here, F5-G5-E5) is one of the most common embellishments in 17th century music, both vocal and instrumental.



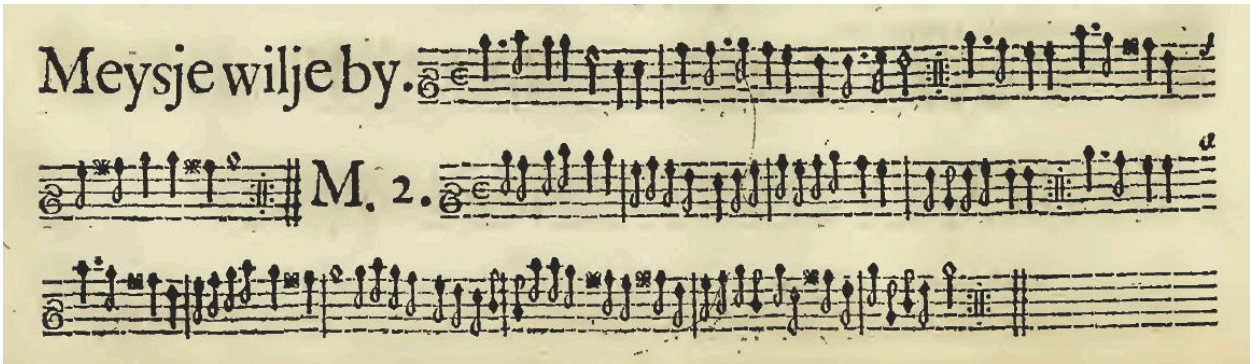
The pattern continues in the second variation: the third phrase from *variation 1* is played, and then further diminished as the fourth phrase. See below. In phrase 3, note that the third in the escape tone has been filled in (second last measure of phrase three); so, F5-G5-(F5)-E5. In phrase 4, the figure is further extended to reach A5 as a neighbor to G5.



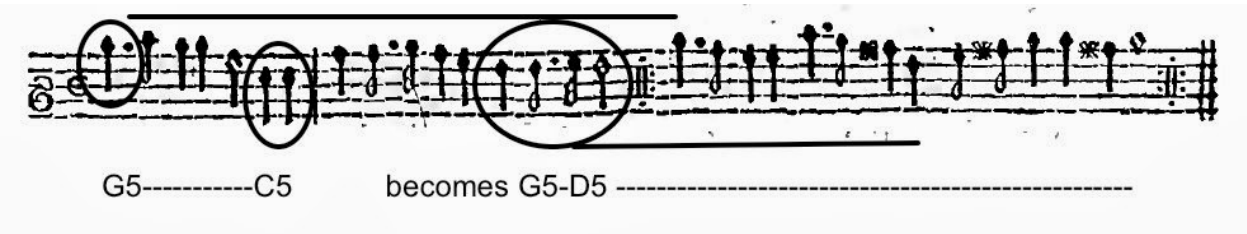
Thus, there are four different versions of the phrase 3/phrase 4 group: (1) in the theme; (2) in the first variation; (3) the very slightly varied version in the second variation, phrase 3; and (4) in the second variation, phrase 4. The result gives a concise picture of ^2 arising out of the diminution of ^7.



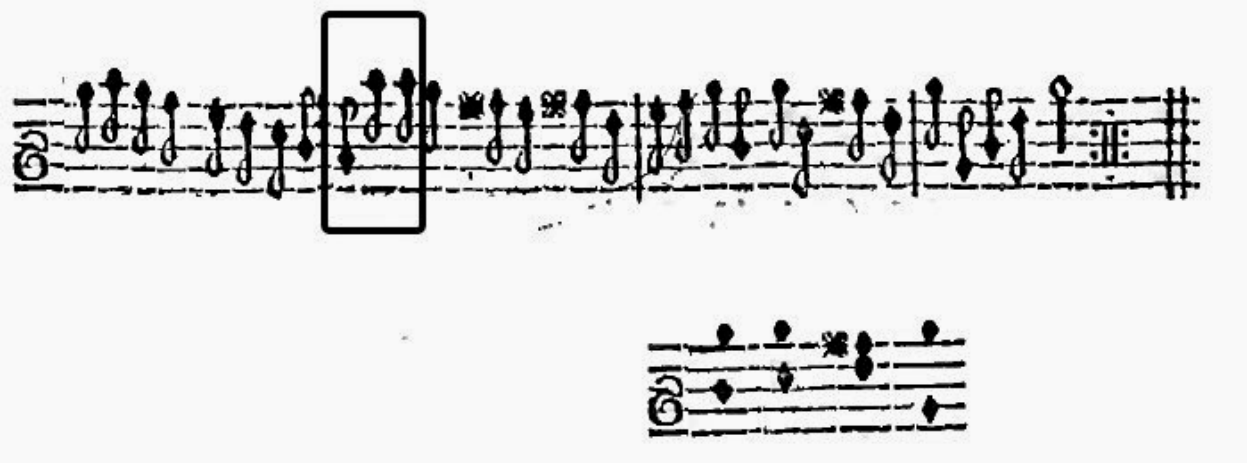
"Meysje wilje by" (roughly "Miss, will you come here?") This tune is in the Mixolydian mode, and it shows the peculiar leanings of that mode toward its "subdominant": the Mixolydian mode is *not* an old-fashioned version of G major.[4]



It is not surprising, then, that the interval space first expressed is C5-G5, that the space becomes D5-G5 as the tune goes on, or that the entire song is focused on ^8 in its upper voice. See below.

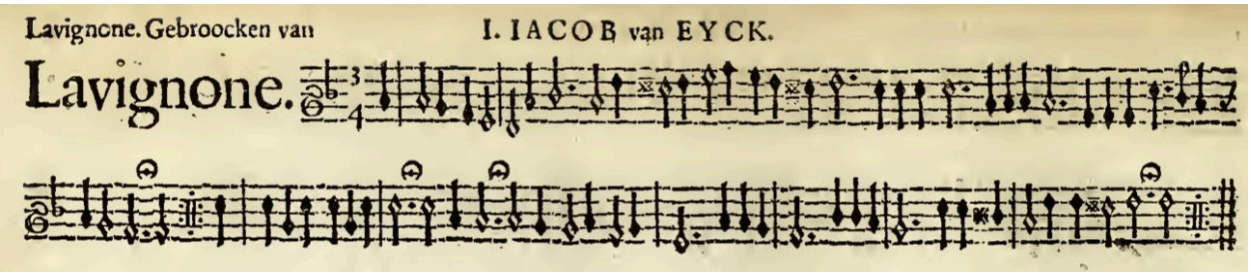


In the variation, van Eyck expands the space upwards and downwards to the octave A4-A5 -- see the box in the figure below -- which leads nicely into a broken two-voice texture in the cadence that ultimately gives us a complete octave space ^1-^8 in the final bar as well.

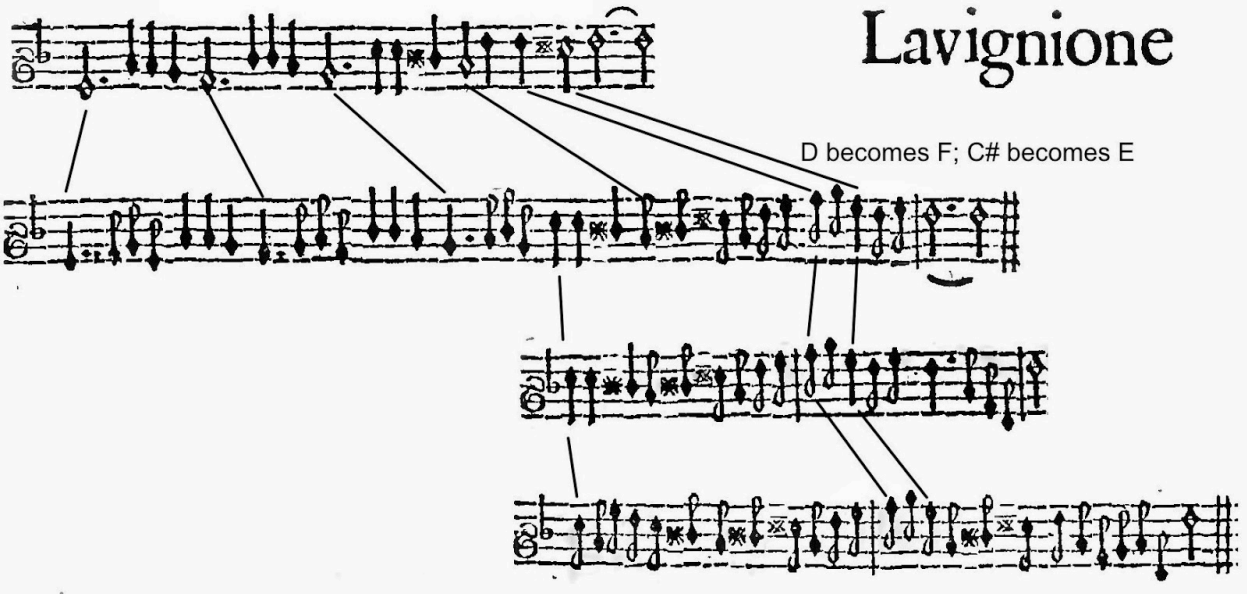


[4] Michel and Teske (vol. 2, 57) mistakenly assume that the piece is in C major and ends on the dominant.

"Lavignone": the first and simpler of two versions in the *Fluyten-Lusthof*. There is little to say about this one beyond that the sequential rise from ^5 to ^8 is as plain and clear as one will find anywhere. Like "Meysje wilje by," it also reinforces the basic importance of the modal ambitus (here, the octave D-D) as the frame for the melody.

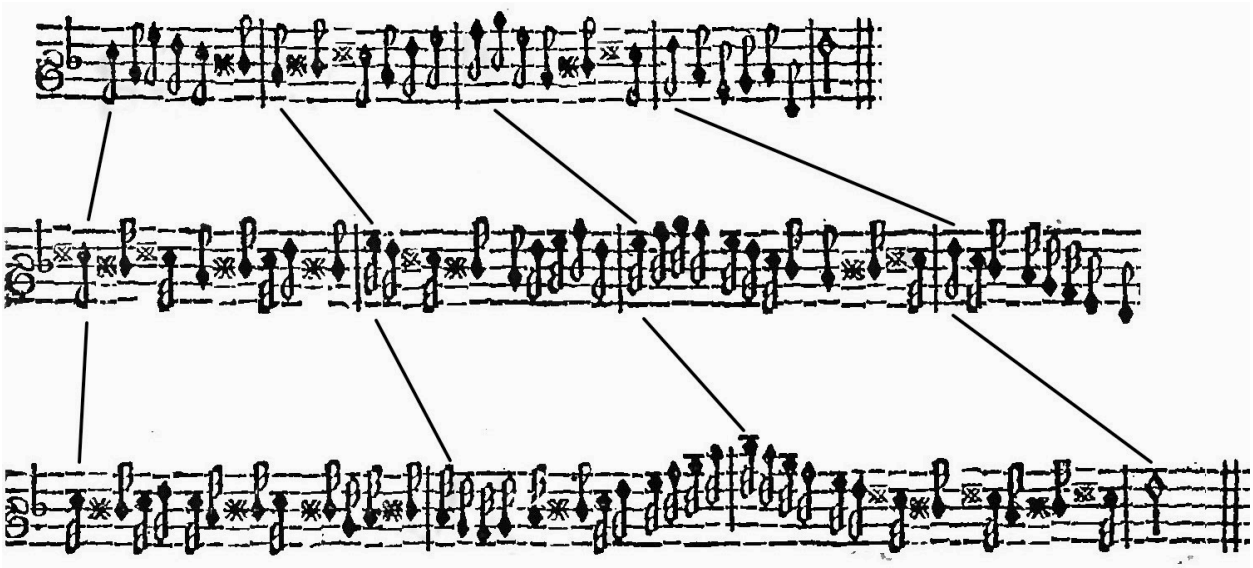


Van Eyck's second setting of Lavignone ("Tweede Lavignione") is much more elaborate in its variations than was the first. He uses the same device as in "Schasamiste vous re veille," where the second part is repeated in each variation with additional diminutions. The point of interest here is the treatment of the ending. An old-fashioned cadence (for 1640, that is) would invite a suspension figure in a two-voice setting: see the first line below, where D5 is a preparation, the accented D5 the suspension dissonance, and C#5 the resolution in a 7-6 figure. In the first variation (second line below), both D and F are displaced by their upper thirds: D becomes F, C# becomes E. The "one-too-far" gesture is added to this, as G5 is an escape tone.



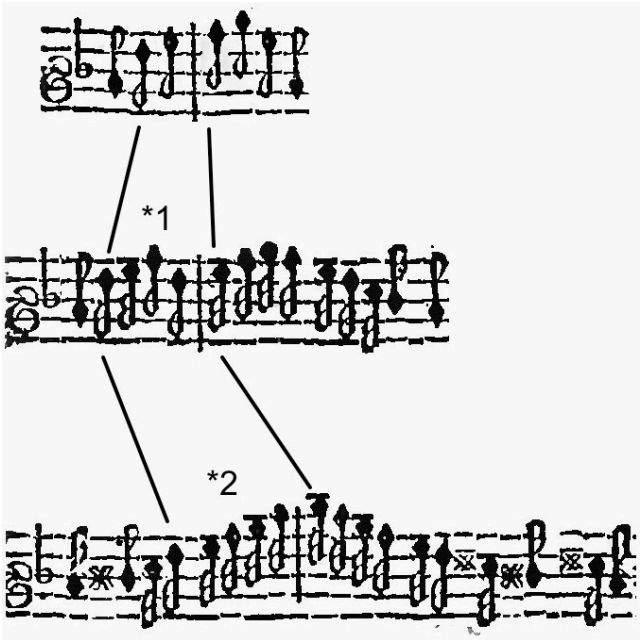
The final line of the figure above (triplets) is reproduced as the first line below. Note that in the subsequent diminutions (8ths and 16ths) E5 displaces F, which is now pushed back into the previous beat, and G5 is now the upper third embellishment of E5. So: D5-F5, E5-G5. This

adjustment lays the groundwork for the final diminutions (continuous 16ths), which suddenly, cadenza-like, soar up to a high Bb before completing the cadence with C#-D.



Below is a closer look at the moment described above. At *1, F is pushed back into the previous beat. At *2, F is gone as a significant pitch: now it is simply an unaccented part of the scale.

All of this suggests that one should be careful not to jump to conclusions about design (rather than expressive) significance of high pitches, including ^3. Here, the octave ambitus of the once-transposed Aeolian mode has priority.



Music for Dance, c 1650-1700

Playford

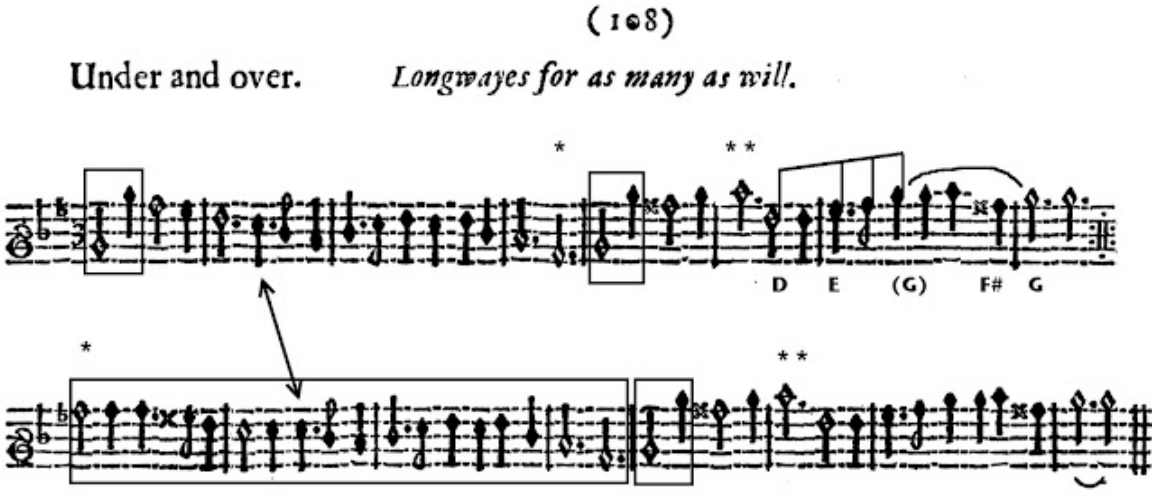
The first edition of John Playford's *English Dancing Master* (all editions after this one were called *The Dancing Master*) was published in 1651, and new versions continued to appear into the first quarter of the 18th century. I have already gathered fifty numbers with ascending cadence gestures in a PDF documentation essay published on Texas Scholar Works: Playford rising line file. Material from that essay is also included in my Rising Lines essay.

In this section, I will analyze a small number of these melodies for matters of register, line, and cadence.

Here is a simple example of register treatment, apparently in service to the title: Under and Over, which appears initially in the second edition (1652). I am using the text as it stands in the fourth edition, from 1670; according to Jeremy Barlow's annotations, several note changes in the ninth (1695) and later editions reduce the modal turns and emphasize typical tonal figures for G minor. (The second flat in the signature, on the other hand, was added in the fourth edition.)

Three of four phrases immediately establish the octave G4-G5. The first phrase then moves by step through that octave from above. The third phrase drops that octave by a step to F4-F5, while using many of the same notes (see double arrow). The second and fourth phrases drop the lower fifth and hold to the upper fourth instead, with a strong linear motion into the cadence.

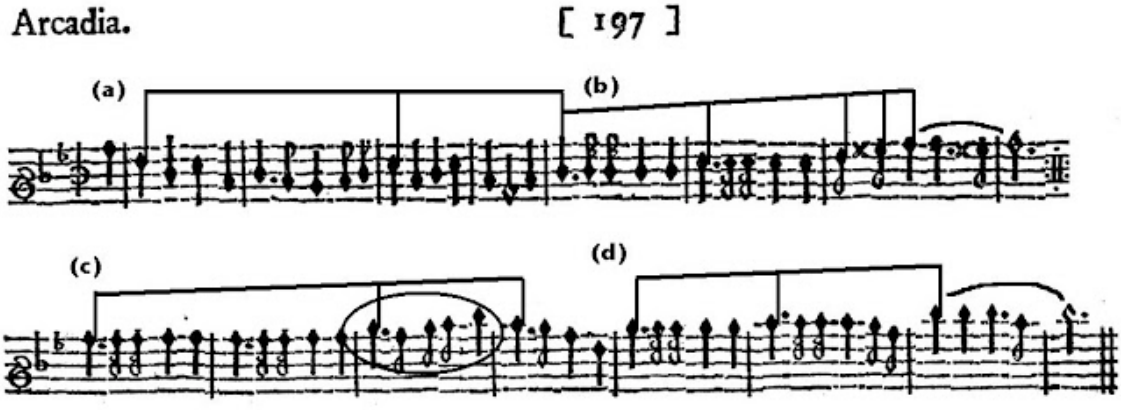
Note that, overall, the lower range is extended by a step (from G4 to F4—see *) and the upper limit also by a step (from G5 to A5—see **).



A slightly more complex example: Arcadia, which was added in the seventh edition (1686). Four phrases again, marked (a) through (d), and in all of them lines (based on accented pitches)

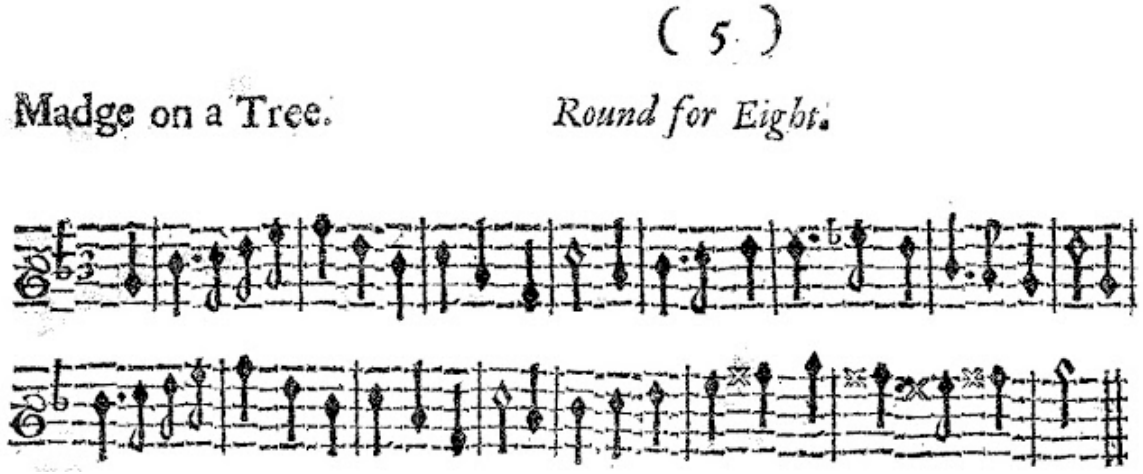
rather than spaces seem to hold sway: a third overlaps the end of the first phrase, reaching the first note of the second phrase, Bb, which then ascends into the cadence on F5; the third phrase continues from that note to an accented A5, then in the final phrase the march continues upward to close on the remarkably high note Bb5.

(If one insisted on gathering the lines into a middleground-background shape, the options would include (1) Bb: ^3 in bar 1 eventually reaching a primary ^5 in bars 7-8, then ascending in the second strain to ^8; (2) raising the pickup note F5 to background status, and holding it throughout till the final cadence completes the ascent; (3) treating the first phrase as "preliminary" [initial descent] to Bb4, which initiates a rising octave line to Bb5; and (4) reading a line of the sixth beginning with Bb4 in bar 4, ascending to F5 by the end of the strain, then further up to Bb5 in the second strain.)

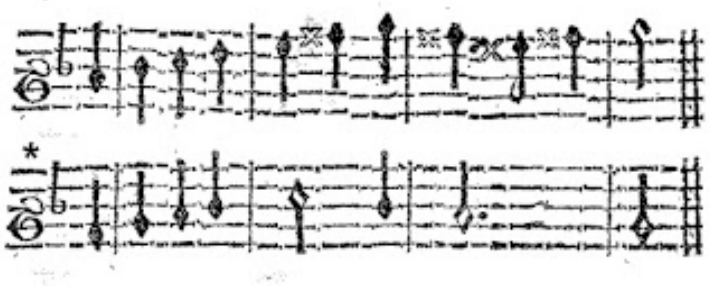


Madge on a Tree appeared in the first edition of *The English Dancing Master* (but this facsimile is from the fourth edition [1670]). The tune was called Mage on a Cree and Margery Cree in some other editions. (Many songs and dance tunes went by various names in that era.)

Clearly a modal tune, Madge on a Tree is in once-transposed Dorian (one flat in the signature with G as the final or tonic note). The climb to the final cadence is as clear as it could be, occupying the entire fourth phrase.

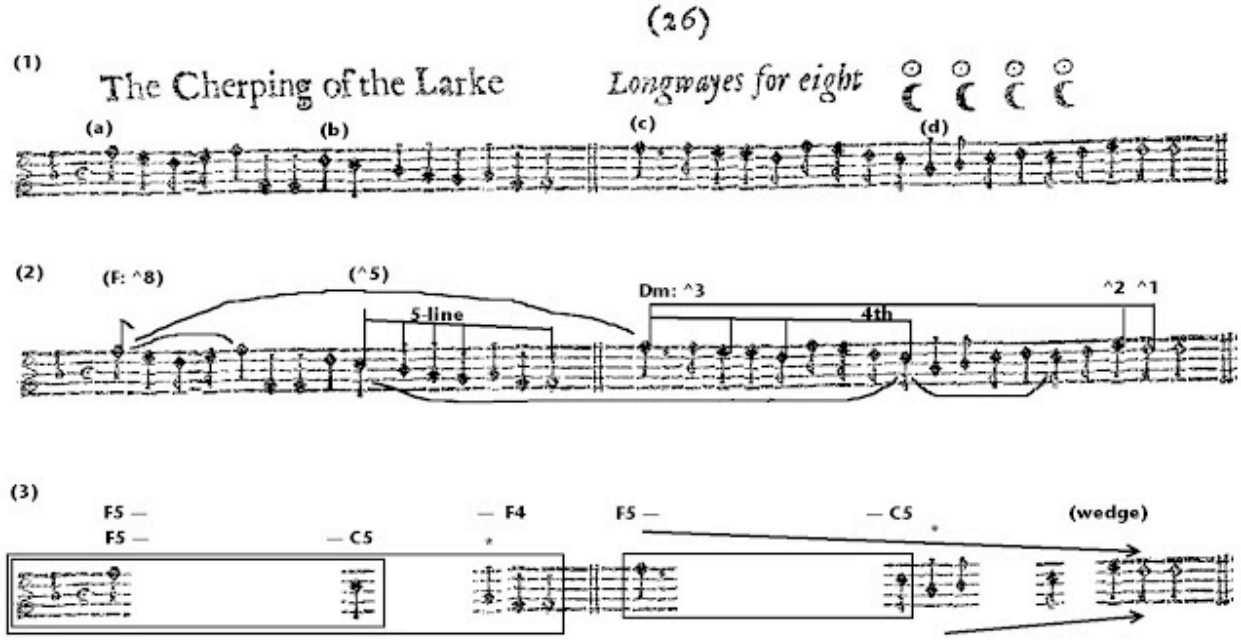


As a postscript to my earlier comments on the clausula vera or cadenza perfetta in the sixteenth century, I have created a second part (at *) to show how naturally the 6-8 figure appears in a cadence with an ascending upper voice.

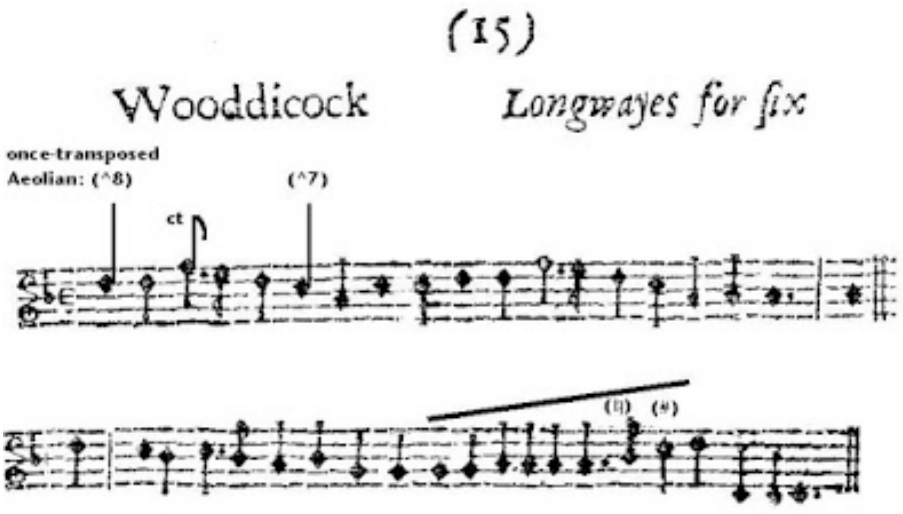


Next, The Cherping of the Larke (this facsimile is from the first edition, *The English Dancing Master*). From the second edition on, the C at the end of the third phrase and the C five notes from the end were given sharps—all that suggests that a player would have changed the notes in performance anyway (in the manner of the by then ancient *musica ficta* practice).

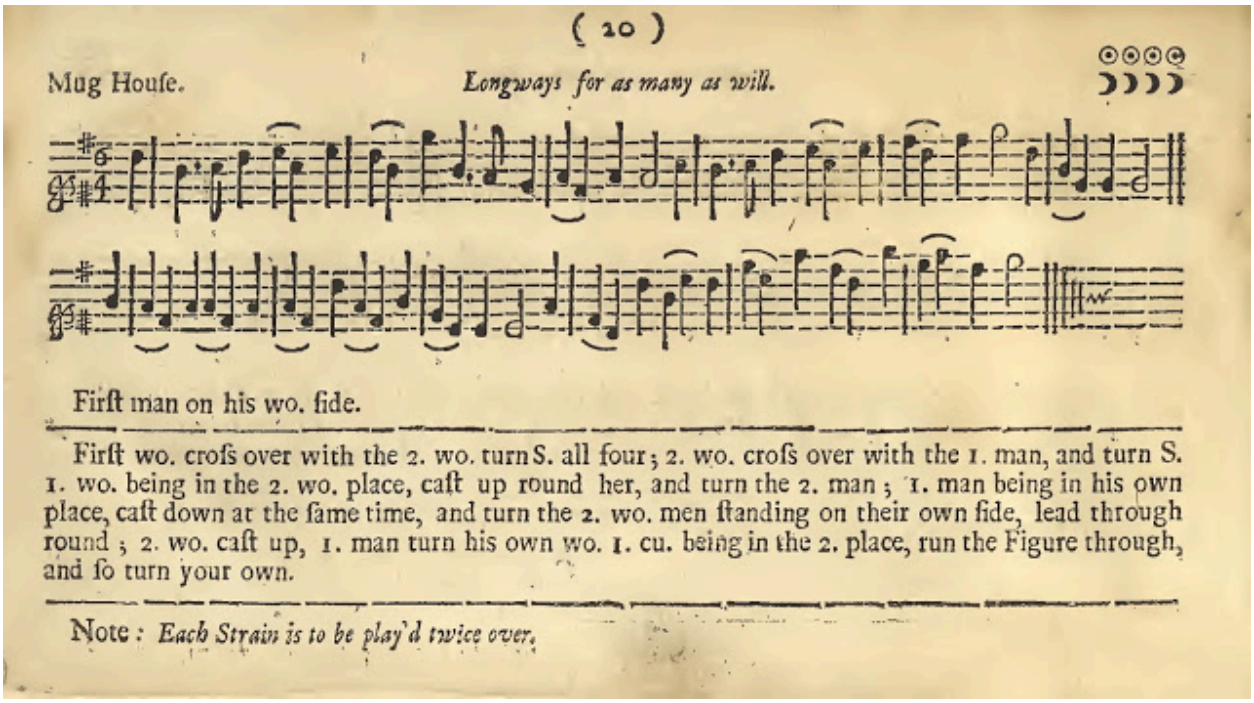
Four short phrases are marked (a) through (d) under (1) below. Under (2), patterns of recurring notes and lines are sorted, and under (3) registers. These last clearly parse the octave F5-F4, suggesting a proto-background, but the end of the melody is a surprise, as a wedge figure draws lines to a close on D, final of a once-transposed Aeolian mode. In this case, the registral isolation of F5 at the beginning of (c), its repetition a few notes later, and the ascent to D5 from below, all make a line F5-E5-D5 credible.



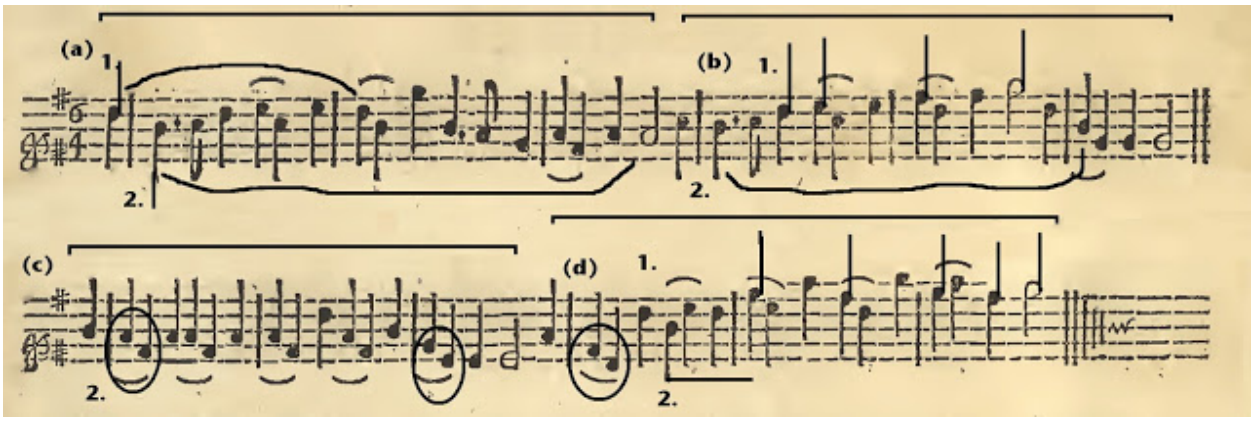
A well-known 16th century tune, Wooddicock, also known as The Green Man, is reproduced from the first edition, *The English Dancing Master*. I have sketched this in a preliminary way in the manner of linear analysis. An initial ^8 (final of the once-transposed Aeolian mode) sinks to ^7 by the end of the short first phrase. The figure appears again in the second phrase and in two consecutive notes to begin the third. An ascent from below (see the angled line) meets ^7 and closes to ^8 in the final phrase.



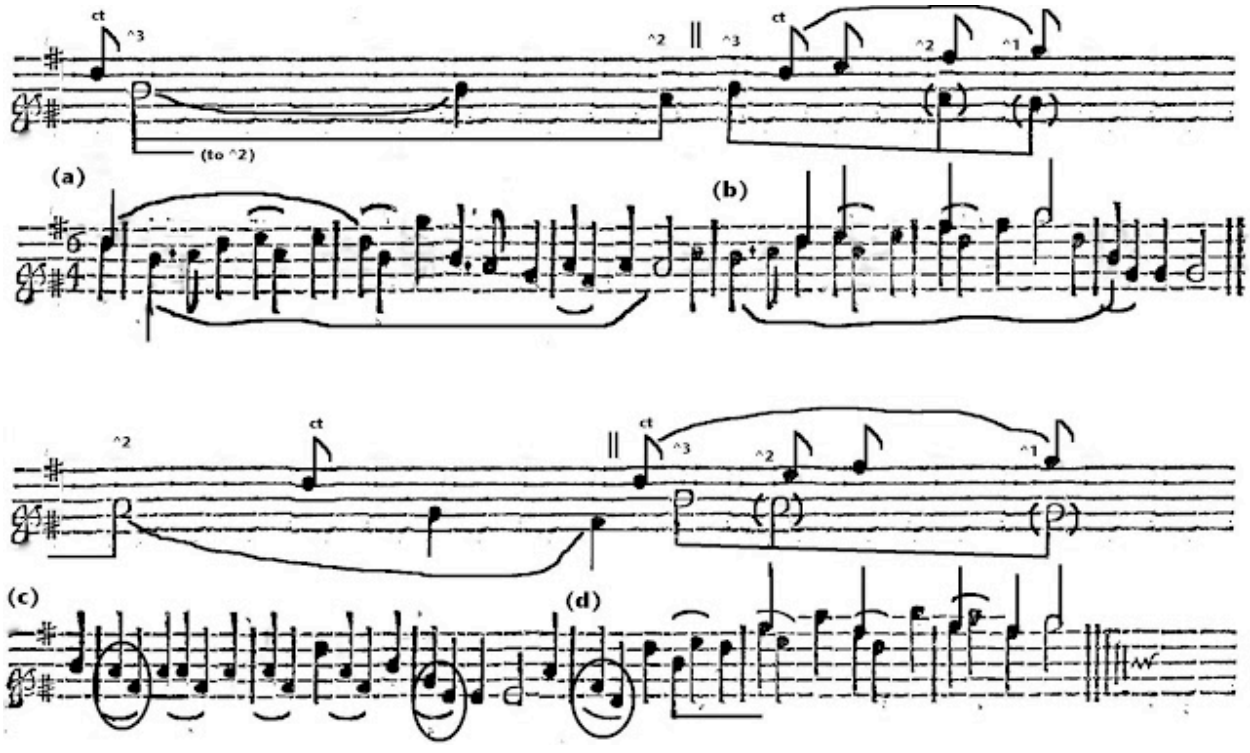
Finally, Mug House appeared for the first time in a supplement to the 7th edition (1687); this version is from the 14th edition (1709) and includes the dance instructions that were printed with the melodies in all editions of *The Dancing Master*.



Four phrases, (a) to (d), are marked up with a soprano-alto pair—(1) and (2). The upper voice is centered on D5, traces a neighbor note figure in the first phrase, then a line into the cadence in the second phrase. It disappears in the third phrase, to re-emerge in the fourth, which, however, is dominated by G5, not D. The alto voice is similarly centered on B4, and it also disappears, after the opening notes of the fourth phrase.



I have made a more traditional linear analysis, as well, based on the above. The reader can decide how plausible this all seems. For my part, I would be inclined to prefer a proto-background B4-D5 to begin, expanding to the sixth B4-G5 by the end of the second phrase, then remaining there for the duration.



In this section, basic information about the individual tunes is taken from Jeremy Barlow, ed., *The Complete Country Dance Tunes from Playford's Dancing Master, 1651-ca.1728*.

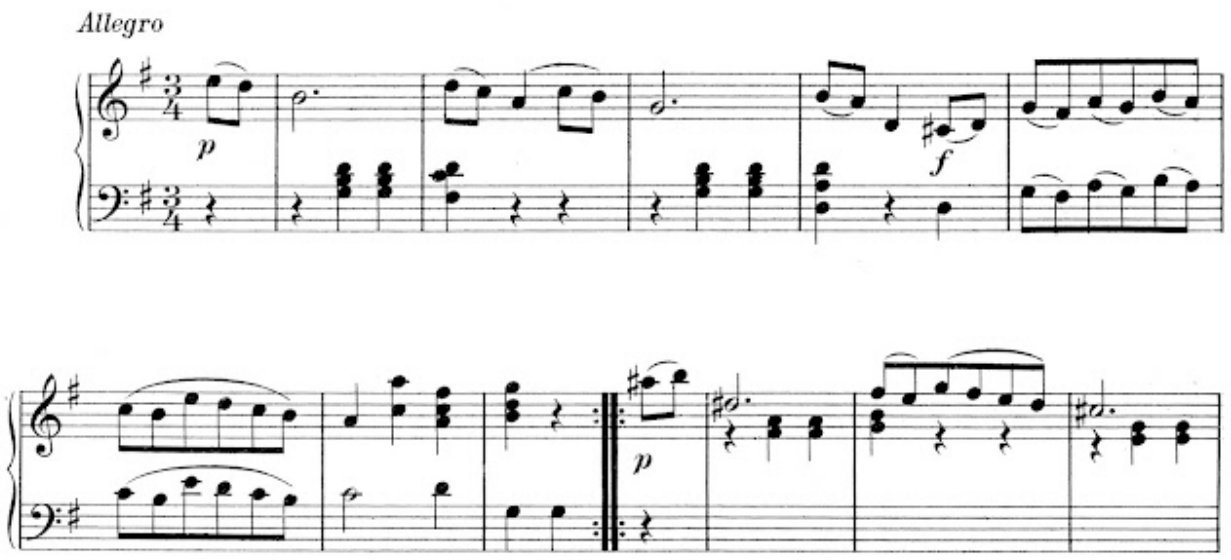
Part III: The later 18th century

Haydn

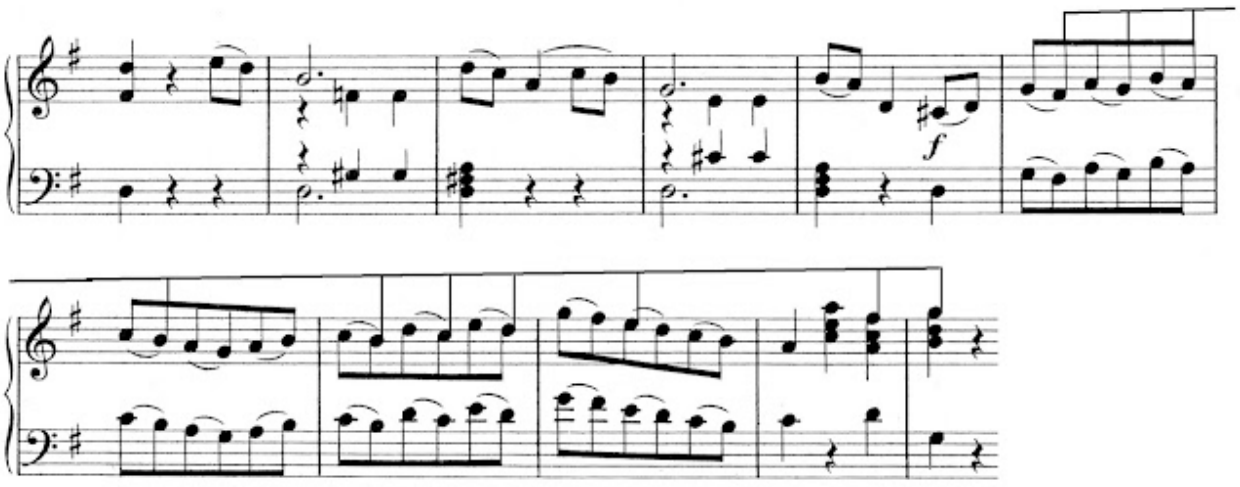
In footnotes to my article "The Ascending Urlinie" (*Journal of Music Theory* 1987), I listed five works by Haydn: the menuets of Symphony 100 and 104, the slow movement of the string quartet Op. 76n2, and movements in two piano sonatas. In this section I will discuss those pieces and add menuets from three earlier symphonies: nos. 83, 86, and 96.

Let's start with the menuet in Symphony no. 83.

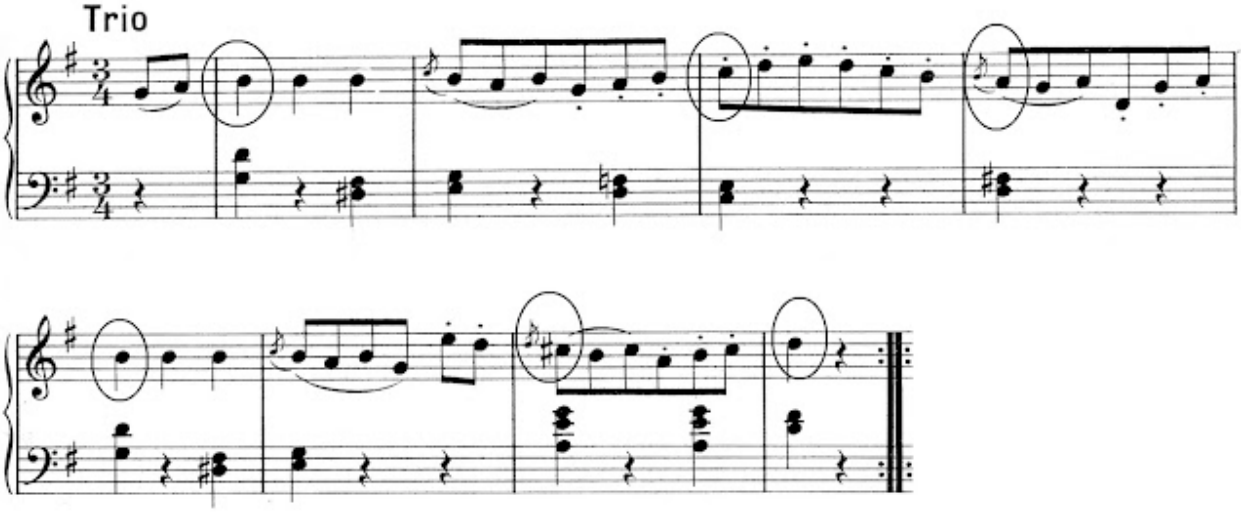
Rising figures appear in both the menuet and its trio. In the former, the first strain suggests the possibility of a rising line (or other figure) that would balance the continual descent in the presentation phrase (bars 1-4), but the continuation phrase doesn't work this out at all clearly.



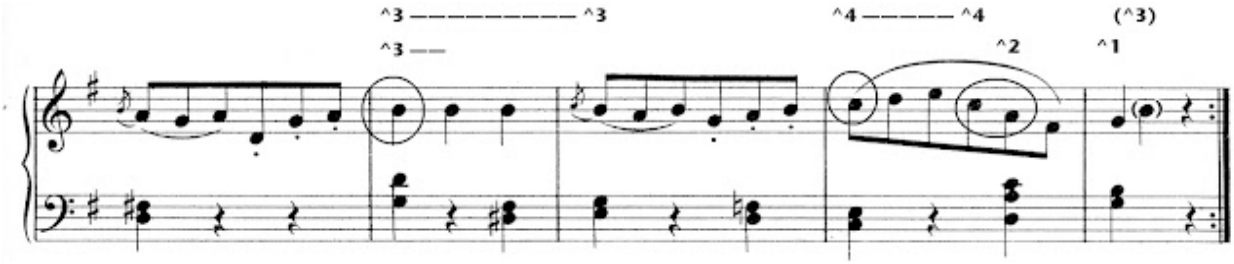
The reprise is another matter. Although uncertainty still exists about which note in the two-note cells is primary, it is really not all that serious a factor, as one can just build an octave line from G4-G5 if you don't like mine from F#4-F#5 with resolution to G5.



In the trio, B4 in the antecedent phrase starts a very common motion that settles on A4 (as ^2) after touching the upper neighbor C5. In the consequent phrase, C is altered to C# (another common feature) in order to settle on D5 at the end. This is the sort of thing that would be understood as motion to a cover tone, with an interruption (with implied? A4) in Schenkerian analysis.



As in the menuet itself, the reprise of the trio manages the figure a different way, though with no suggestion of an ascending cadence gesture. Here Haydn anticipates many early 18th century waltzes in leaving notes of the dominant chord "hanging" over the final tonic: E5 "might" have gone to D5 [this one is especially important to the waltz], and C5 to B4.

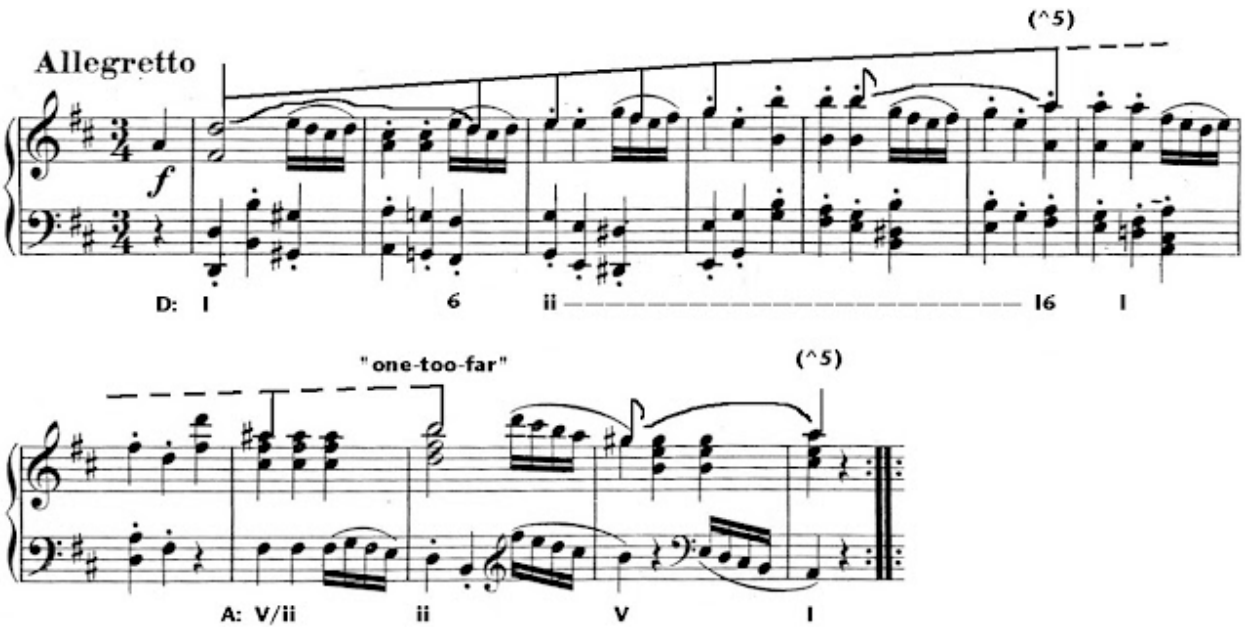


As the four-movement symphony model crystallized in the 1770s, the individual movements took on the familiar characteristics we associate with the late 18th century: the first movement an overture, the second an aria, the third a menuet, and the fourth a contredanse (after Leonard Ratner). Of these, the last was the least stable: only in the early to mid-1770s were the contredanses really danceable or recognizable to an audience as programmatic "portrayals" of the dance (I have written about this here: link; others who have written significantly about the two dance movements include Tilden Russell, Sarah Reichart, Wye Allanbrook, and Melanie Lowe). Apart from anomalies (such as fugal movements), by the 1780s finales as dance-finales are perhaps best characterized as overtures utilizing dance topics.

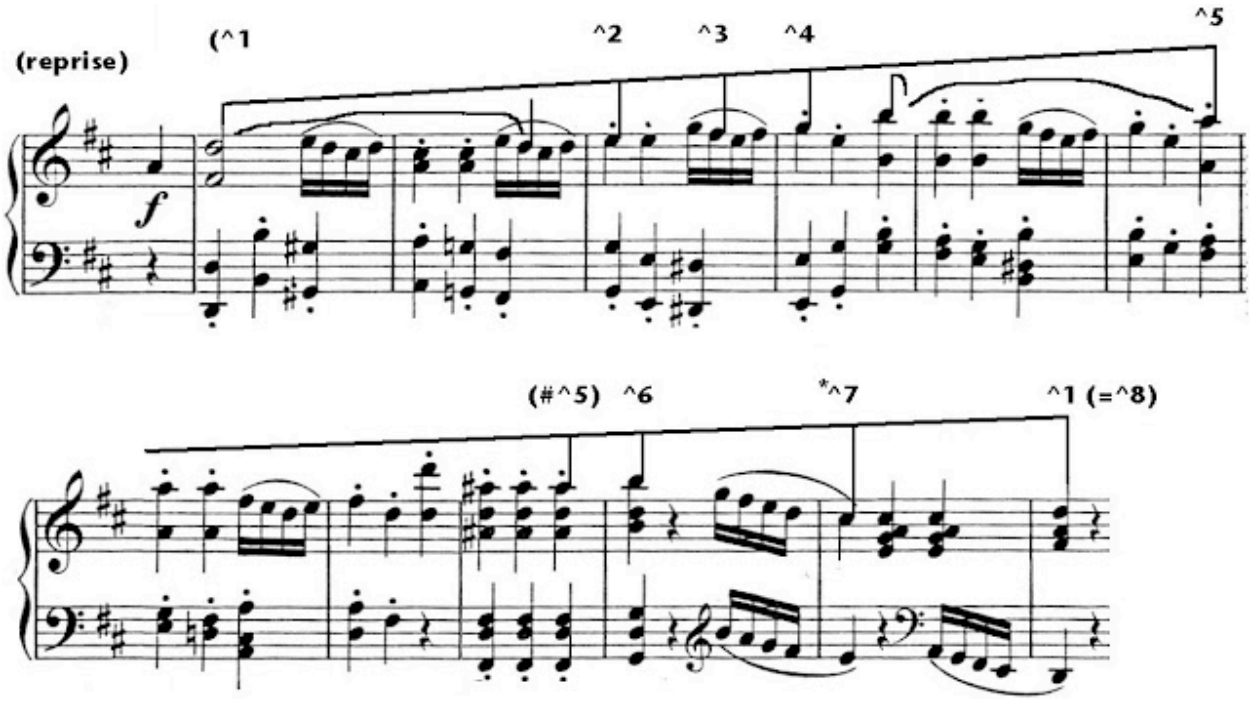
The menuet remained much closer to its dance model. Cast in virtually all instances as a dance with one trio, it was a miniature representation of the actual dance. As many writers have noted, however, the dance itself changed and the music changed with it. In the early part of the century, the menuet of the French court was a couple dance that was meant as a public display of skill and grace. After the death of Louis XIV, it gradually devolved into a perfunctory opening formality for the ball, where it was followed as soon as possible by the lively, very social intercourse of the contredanse, whose musics were almost always gavottes (duple) or jigs (triple) (Semmens 2004).

In Germanophone areas, the formal menuet persisted, but it was joined by a hybrid type that was modeled on the region's "turning" dances (*walzen* = turning). Haydn was one of the first to exploit this opportunity, and it is no surprise, then, that the violinistic figures of the ländler should find their way into the symphony's third movement, including rising melodic gestures and cadences.

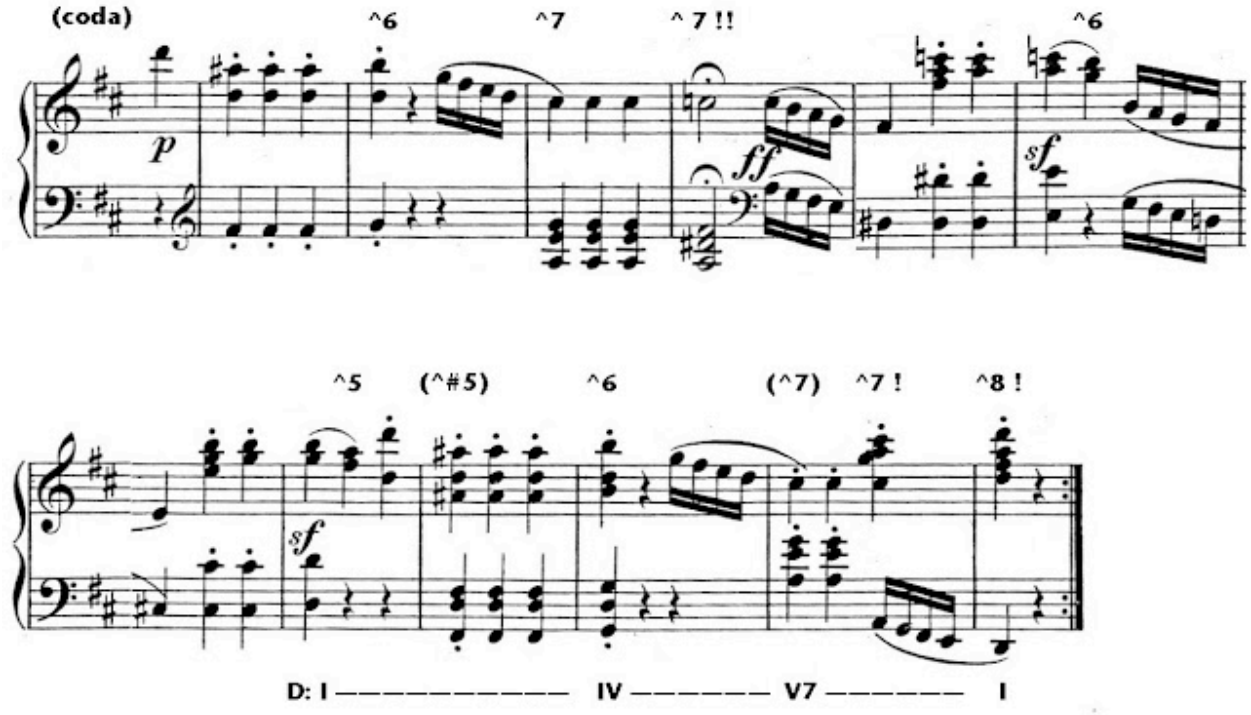
In Symphony no. 86 (composed in 1786), Haydn makes the rising gesture the main event, as the line connecting all three of the first strain's four-measure phrases shows (see below). Note that the steady progress from ^1 to ^5 (D5 to A5) is pushed "one step too far" to B5 before settling on A5 in the cadence. That bit of excessive energy has consequences in the reprise.



As in the opening, the first two phrases of the reprise march upward from D5 to A5, then go through A#5 to B5 in the third phrase. This time, however, B5 drops to C#5-D5 for the cadence. The end result is a "circle" of sorts, from D5 back to itself, but by means of an octave's worth of a scale. This device of undercutting the rise from ^6 to ^7 is discussed in my *JMT* article and seems to be particularly characteristic of the later 18th century. To speculate: the conventions associated with the dominant Italian style (which we know better nowadays through research on the partimenti, evidence of methods of instruction) were so strong that Haydn felt an obligation to observe them in some situations, rather than take full advantage of the rising cadence gesture. In any case, the leap downward from a subdominant to the leading tone is very expressive in and of itself.

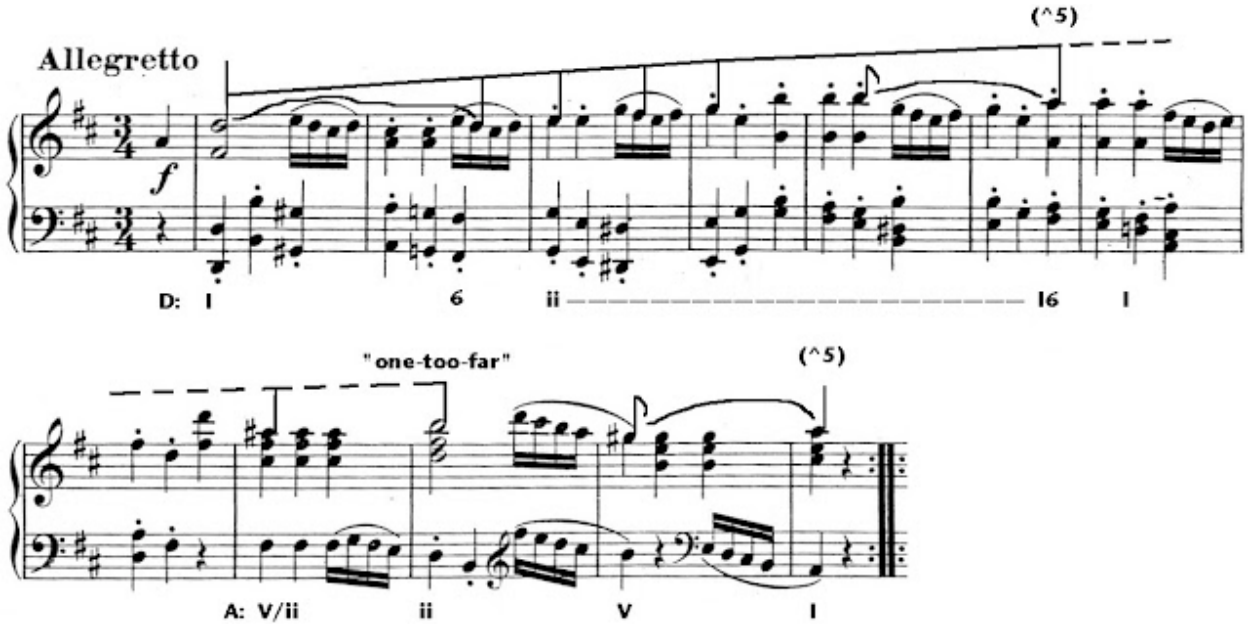


The coda that follows involves some play on the figures we have just heard. The humorous subversion of D5 through C5 (at the fermata) leads the line (*fortissimo*!) back down to ^5, but then the original cadence is repeated to end, now with a final flourish that gives us ^7 and ^8 in their "correct" register, as C#6 and D6.

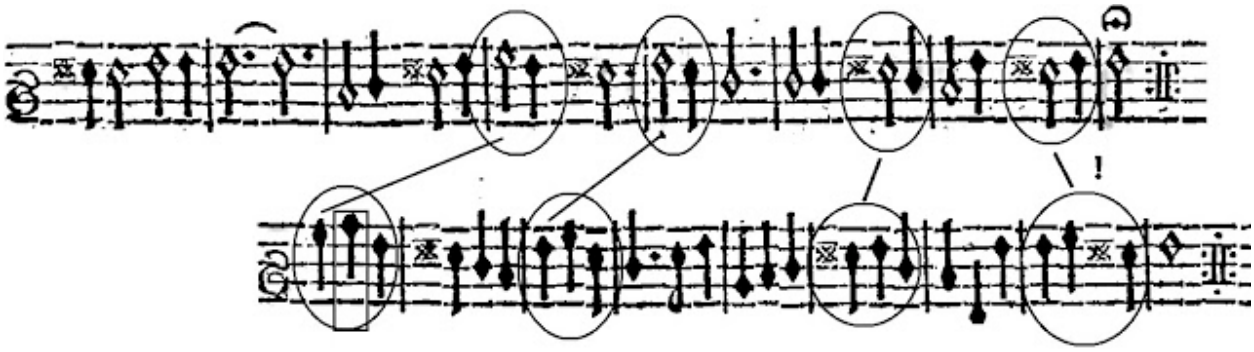


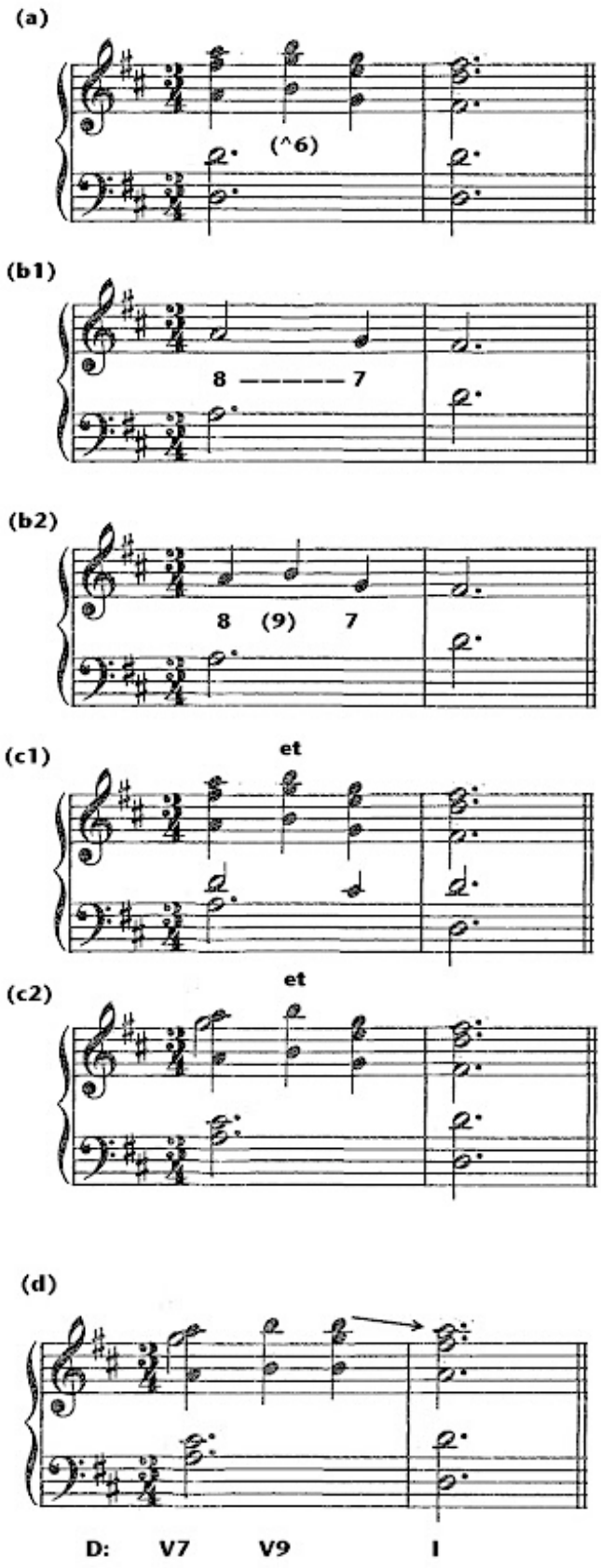
Information on French dance practices after the death of Louis XIV came from Richard Semmens, *The Bals Publics at The Paris Opera (1716-1763)* (Pendragon Press, 2004).

In comments above about the menuet from Symphony no. 86, I observed that the line from ^1 to ^5 (D5 to A5) in the first strain is pushed "one step too far" to B5 before settling on A5 in the cadence. Here is the example:



This "one-too-far" figure has its roots in 17th century improvised embellishment practices. Here is a simple example adapted from the van Eyck series in Part II above. The upper staff is the ending of the original tune ("Wel Jan wat drommel"), the lower staff the equivalent place in the first variation. The escape tone diminutions are circled. The last of them is not quite a diminution, as van Eyck actually reorders the notes of the original, but the effect is pretty much the same.



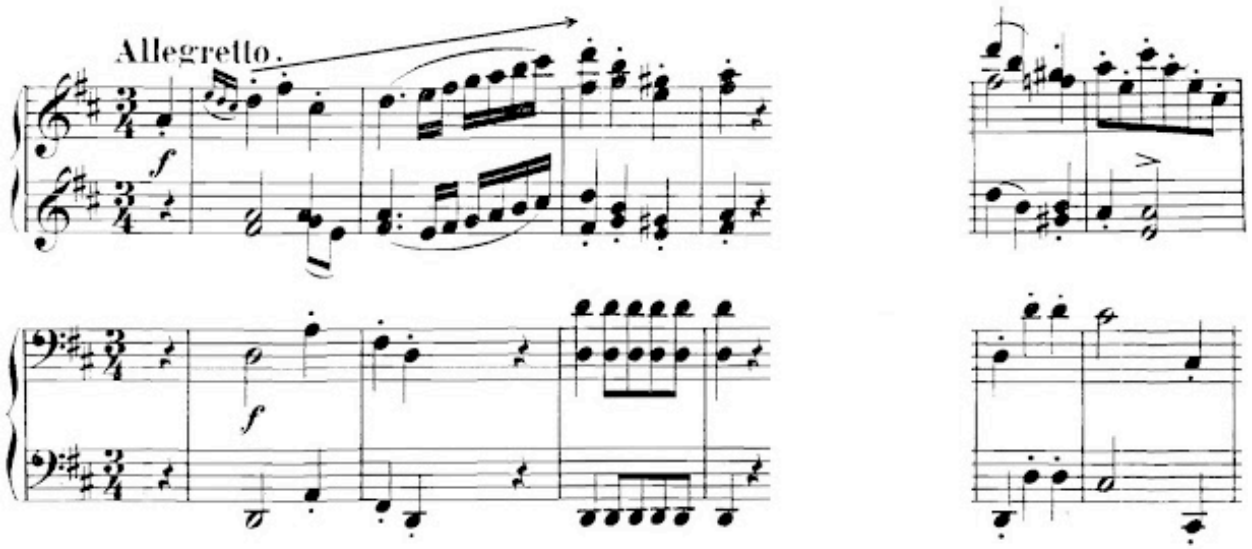


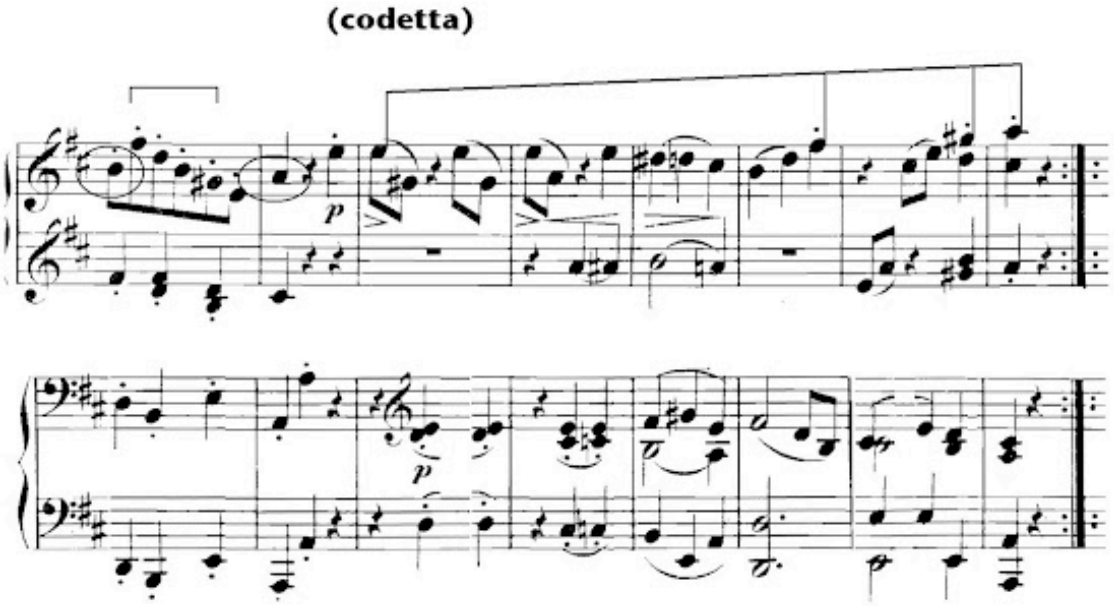
In tonal music of the major-minor system, the most familiar—and probably most influential—figure of this type involves scale degree ^6. In example (a) below, the motion from the consonant A through a passing tone G to a consonant F# is embellished with an escape tone B. This is rather mild business, of course, as the B is consonant with the pedal base D. Even in my rather Brahmsian version, with its third and octave doublings, the effect is sweet rather than dissonant. In example (b1) the underlying voice leading pattern is shown, this time with a change of bass, however. It's this version—embellishment of V rather than I—that is commonly found throughout the century from roughly 1770 to 1870—see example (b2) for the figure with escape tone. Examples (c1) and (c2), then, show two versions with full harmonies.

The escape tone figure was one of the most important enablers of the dominant ninth chord. All it took—as Schubert and others in his generation discovered—was to replace the passing motion with a neighbor figure by resolving ^6 back into ^5 over the chord change.

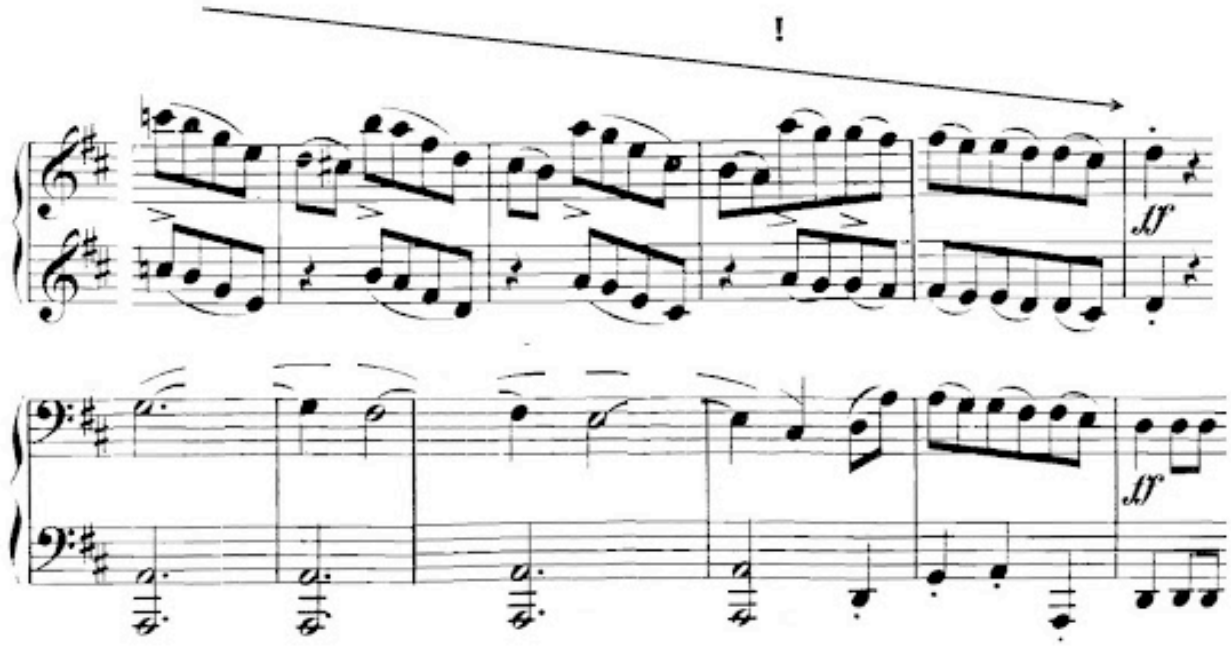
The menuet of Symphony no. 96 (1791) is a counter-example. Where the rising line was the primary figure in Symphony no. 86, III, as we saw above, and is eventually connected to a rising cadence gesture, in Symphony no. 96 the promise of same is not realized. In fact, Haydn goes out of his way to undermine (more like demolish) it.

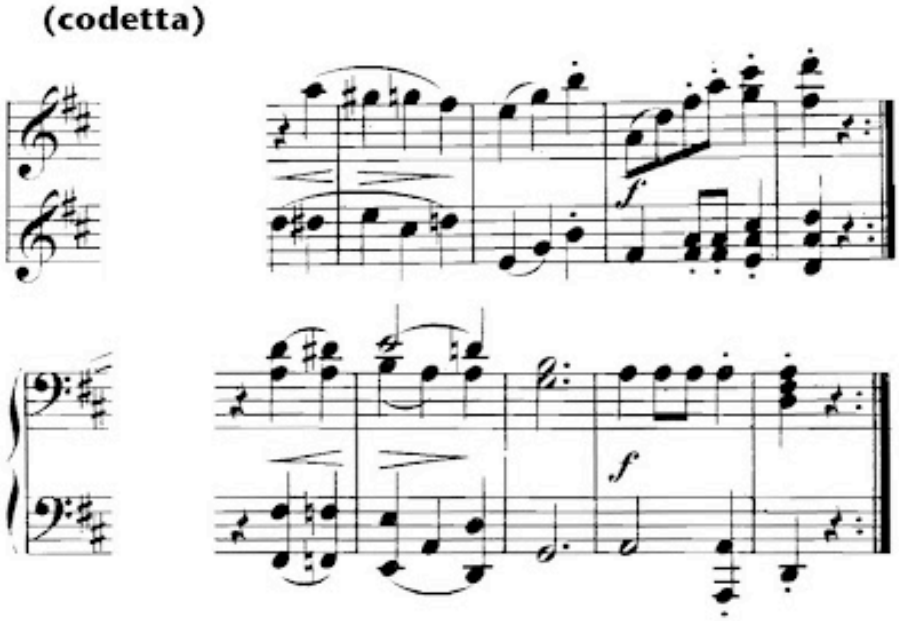
The opening figure is more arpeggio—a "rocket"—than line, but it does establish A5 by the end of the phrase (bar 4). The primary cadence of the first strain, however, drops down the octave to close on B4-A4 (circled notes). (These examples, btw, are from a piano four-hands edition; I couldn't find a two-stave reduction.)





Below is the principal cadence in the reprise: it's down, down, down in all parts but the bass. The codetta, at least, does make a small effort to compensate, but there is nothing unusual about it: an "up and out" flourish in the final seconds is very common in the later 18th and early 19th centuries, so much so as to be a cliché for opera overtures, scenes, and arias (where the orchestra provides the flourish after the singer finishes).

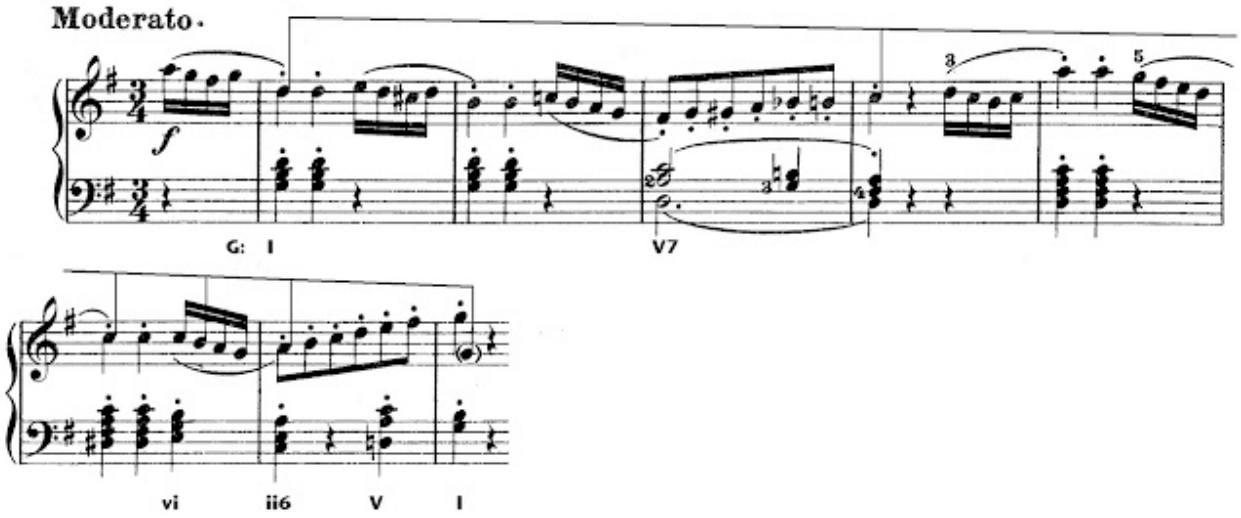




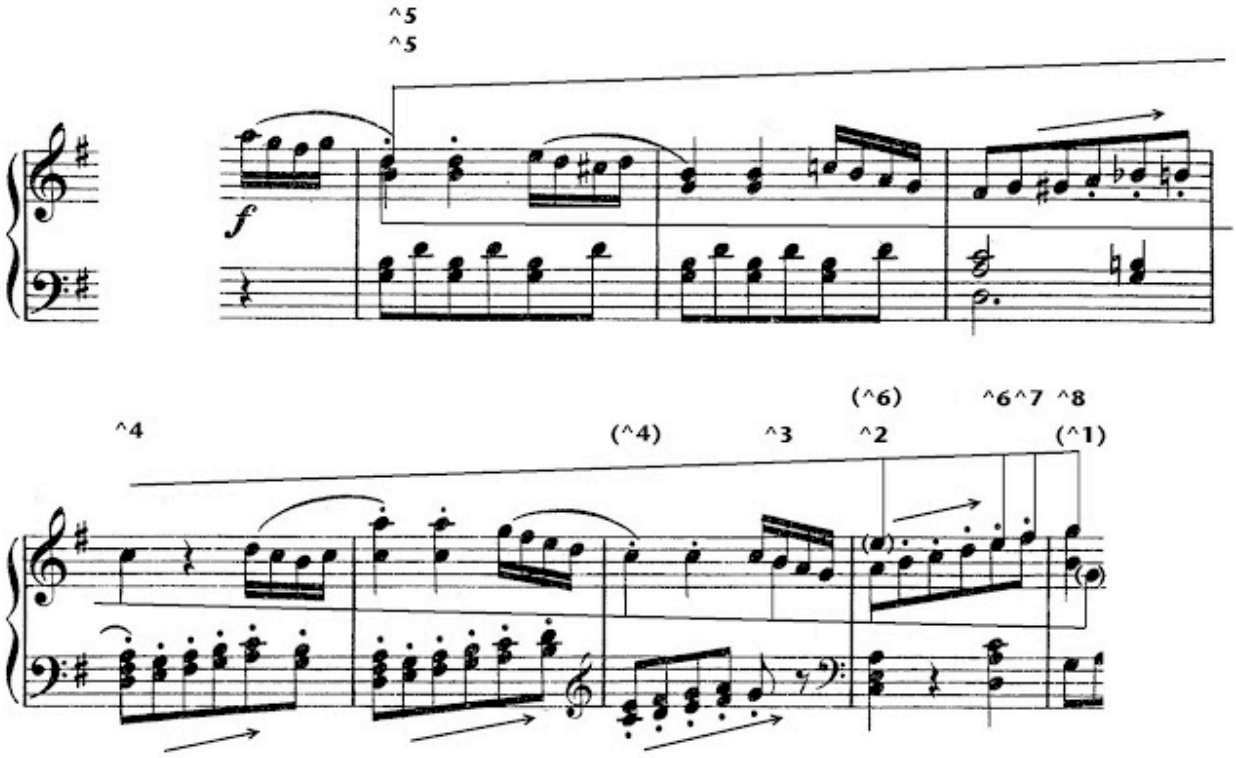
Another piece mentioned in footnotes to my article "The Ascending Urlinie" (*Journal of Music Theory* 1987) is the menuet in Haydn's Symphony 100. In the article I wrote that motivic foregrounding and layering did not necessarily generate rising background lines, and in note 28 said this:

> The Menuet of Haydn's Symphony No. 100 is a case in point. In the first period (measures 1-8, which stand for the whole), the initial motion is strongly downward, but the final cadence produces a clear ascent from ^5 to ^8 in the upper-most part.

Thinking of this in Schenkerian terms—as I was in 1987—the rising line is not workable in the theme's first presentation because it doesn't mesh well with the bass, especially in bars 5-6, where one would have to imagine a doubling of bass and soprano, never a good idea. It's much easier to build a line in this way: D5 initiates a fifth-line; to C in bar 4, recapture C in bar 6, B on the last beat of that bar, then A in bar 7, and an implied G in bar 8. The ascending scale in the cadence is boundary play. See this version here:



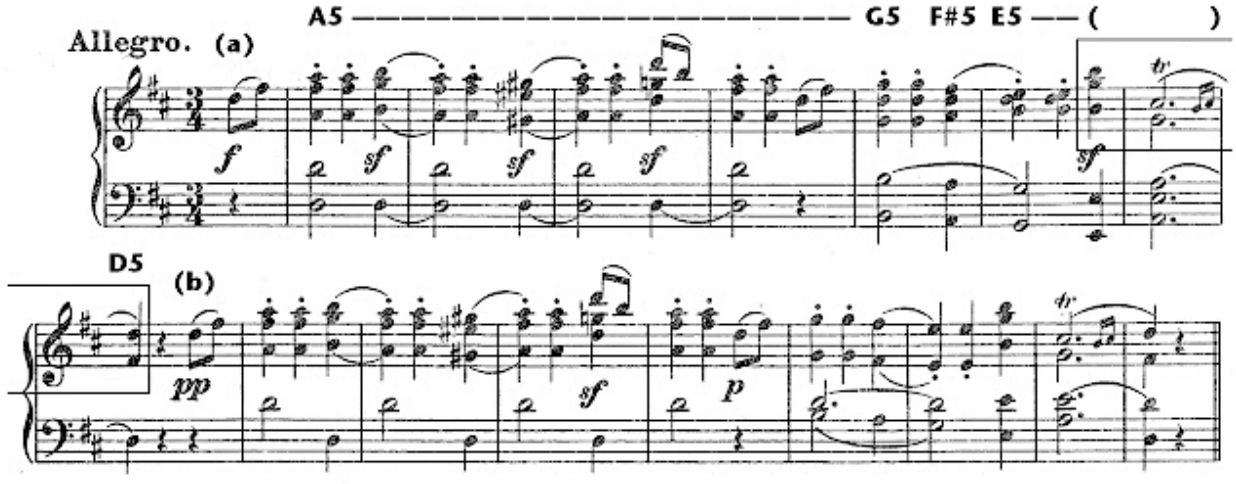
In the reprise, on the other hand, the chromatic passing tone D# in the bass (from m. 6) is gone, and a string of diatonic figures, all rising, take over the lower parts, directly linking the chromatic scale fragment to the diatonic scale fragment (see the arrows in the figure below). As a result, the rising line from ^5 to ^8 has a clear path and pitch design can be read as well-matched to the important aspects of expression.



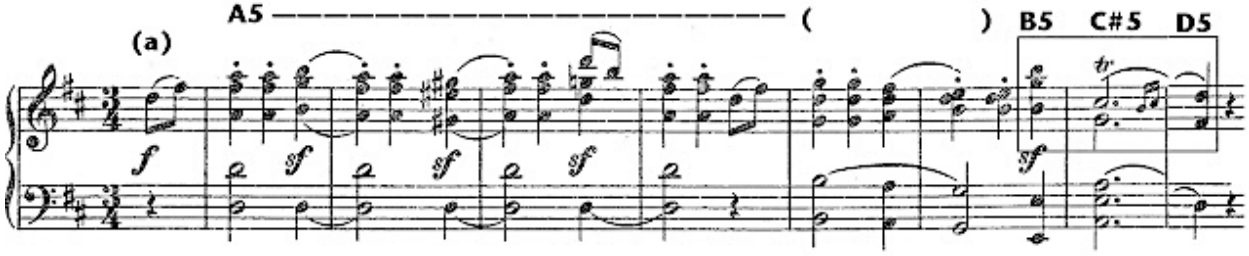
Nevertheless, nowadays I think that octave shapes work just as well as lines to describe the frame of this theme. In the first phrase, the ornamented arpeggiation that brings G5 down to G4 is only answered meagerly by the rising chromatic scale in bars 3-4. The second phrase does better, as A5 to A4 is answered by the diatonic scale that brings the close back to G5.

Another piece from footnotes to my "Ascending Urlinie" article: Haydn, Symphony no. 104, menuet. This piece is among those I argued use "the simplest form" of the rising background line (fn28). It's not quite that simple, however—the same drop from ^6 down to ^7 that we found in the menuet of Symphony no. 86 above. About that one I wrote:
This time [in the reprise] B5 drops to C#5-D5 for the cadence. The end result is a "circle" of sorts, from D5 back to itself, but by means of an octave's worth of a scale. This device of undercutting the rise from ^6 to ^7 is discussed in my *JMT* article and seems to be particularly characteristic of the later 18th century. To speculate: the conventions associated with the dominant Italian style (which we know better nowadays through research on the partimenti, evidence of methods of instruction) were so strong that Haydn felt an obligation to observe them in some situations, rather than take full advantage of the rising cadence gesture. In any case, the leap downward from a subdominant to the leading tone is very expressive in and of itself.

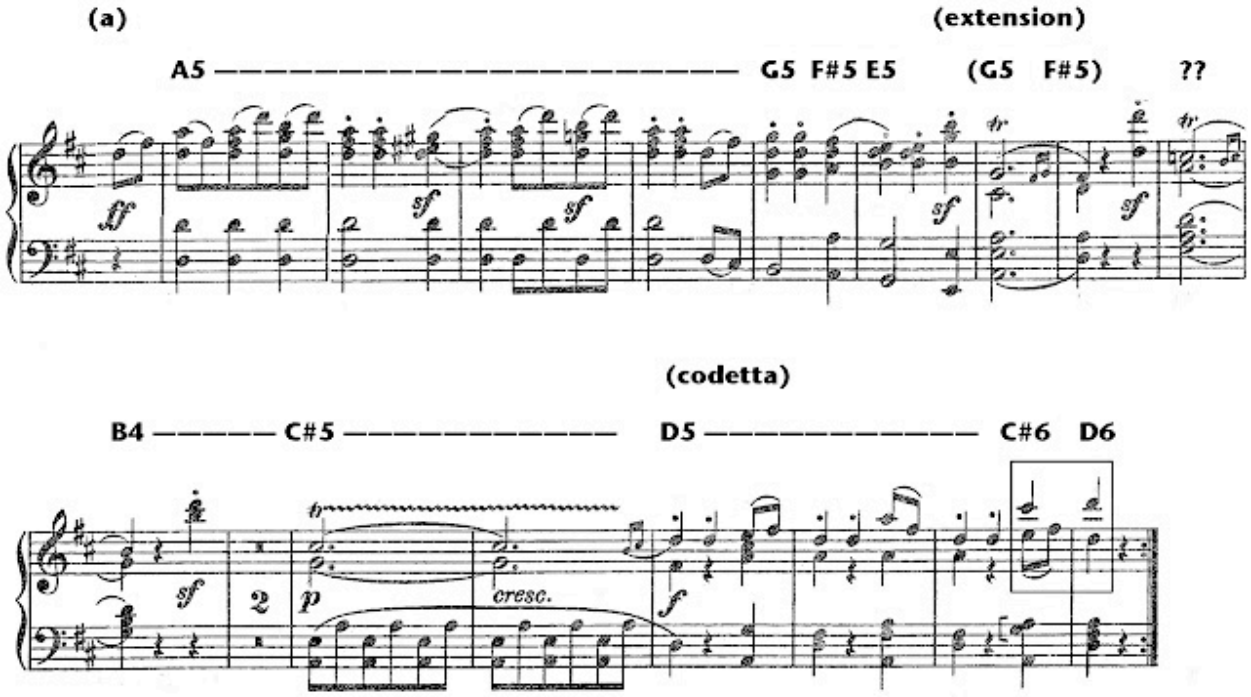
The key is the same in Symphony no. 104, ^5 is as firmly settled as the tonic pedal note underneath it, and a string of parallel sixths lead the melodic line down to the cadence. Only the *sforzando* on the last beat of bar 6 suggests anything different: B5 sticks out above, then leaps down to the dominant's C#5 (see the box).



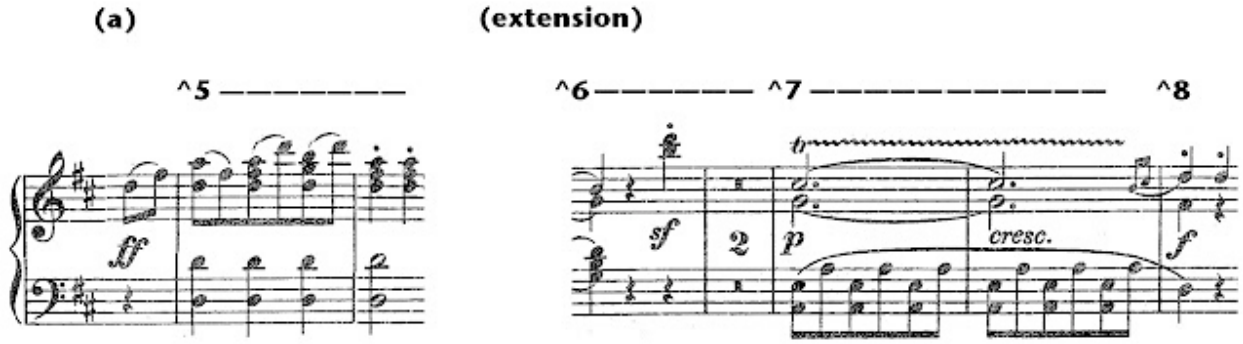
What that *sforzando* hints at it is the possibility of a rising line from A5, but, as happened in Symphony no. 86, directionality is undermined by curling back to the lower octave instead of rising toward C#6 and D6.

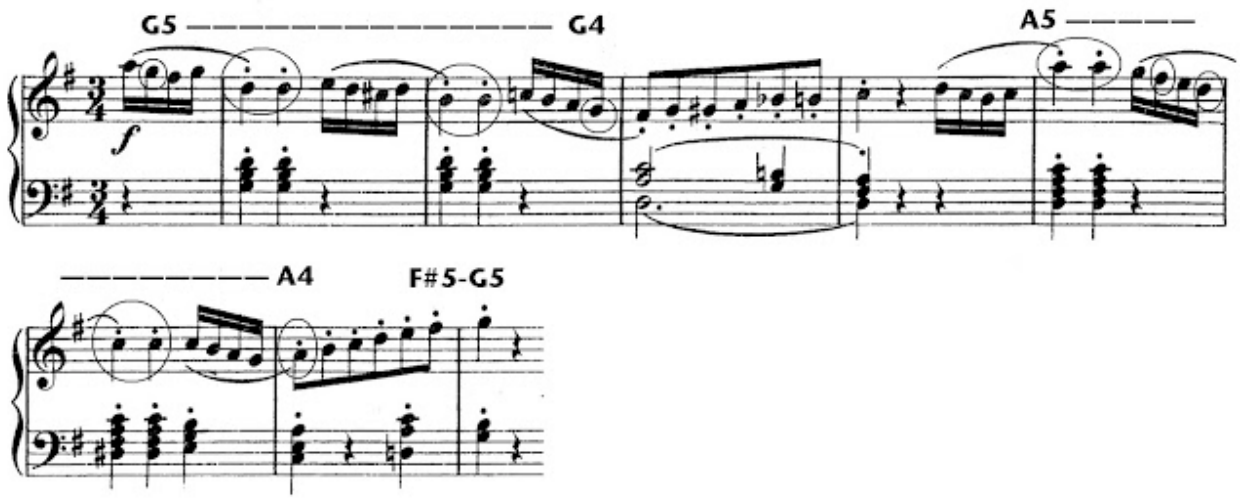


As we have found more than once already, Haydn can't seem to leave things alone in the reprise, and the effects can easily be seen even in design features like linear patterns. In the A section, the eight-bar theme is repeated (in different instrumentation). In the reprise, the theme statement makes it through six bars before changes start, the overall result being an extension of the continuation phrase from four bars to eleven, including two bars of grand pause (!), and a clearly profiled stepwise ascent from B4 through C#5 to D5 (see the second system below). The codetta adds a little flourish that gives us C#5-D6 at last.



This condensed version shows just the ^5-^8 progress over the course of the reprise.



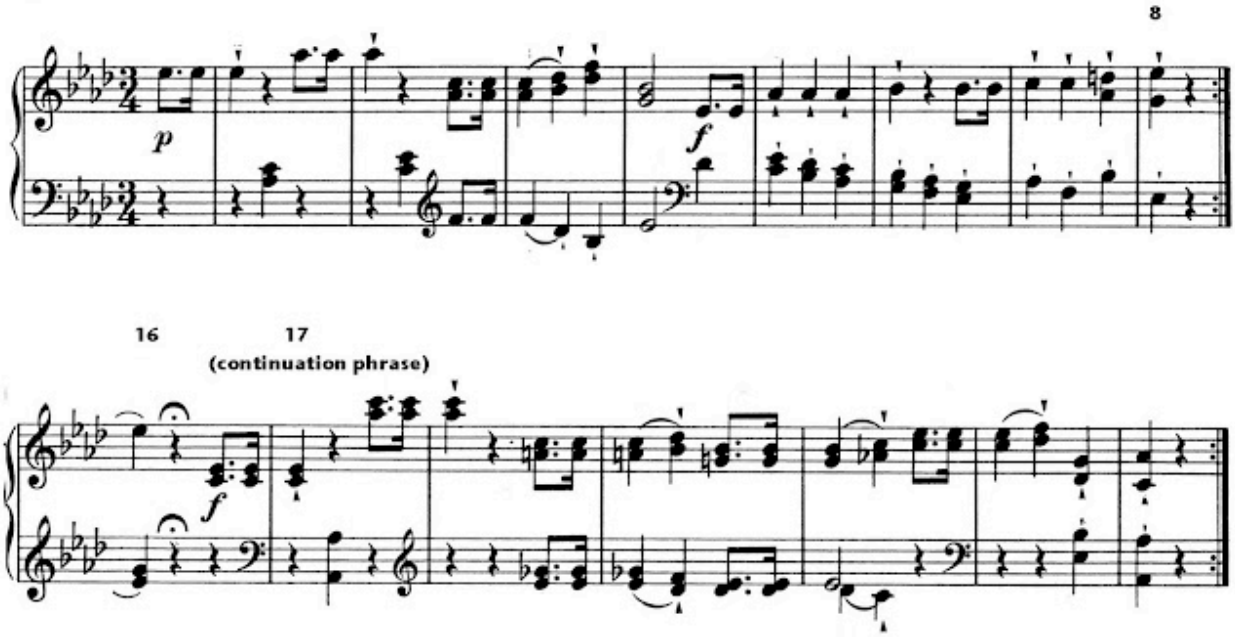


In footnote 32 to my "Ascending Urlinie" article, I included the Haydn Piano Sonatas in Eb and Ab—the slow movement of the former (Hob. XVI/52, II), the menuet of the latter (Hob. XVI/43, II)—among pieces that use one of the variants of the rising line: the form ^5-^6-(reg.)^7-^8. We've seen this version already in the menuets of Symphony no. 86 and no. 104.

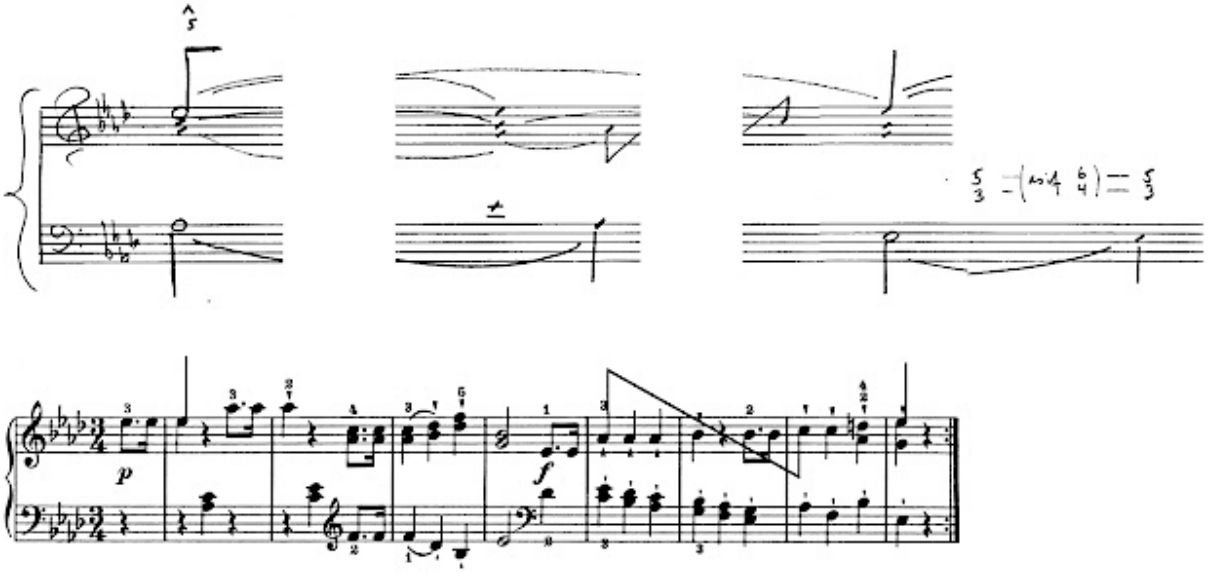
Here I will use my holograph sketch of this piece; it's probably from 1982 (when I did most of the initial research on rising lines for the sake of a Schenker seminar). I have placed a facsimile in my public folder on Dropbox: link.

The opening is one of those designed to frighten beginning Schenker students, as it offers ^5, ^8, and ^3 as plausible starting points for an Urlinie. Although ^3 is weak, since it is over vi, not I, the move to ^2 in bar 4 has to be encouraging; and you can almost always read chord support backwards to the beginning if you really want to (true here), so that ^3 is understood to be supported by the initial tonic chord rather than the vi that prolongs that I.

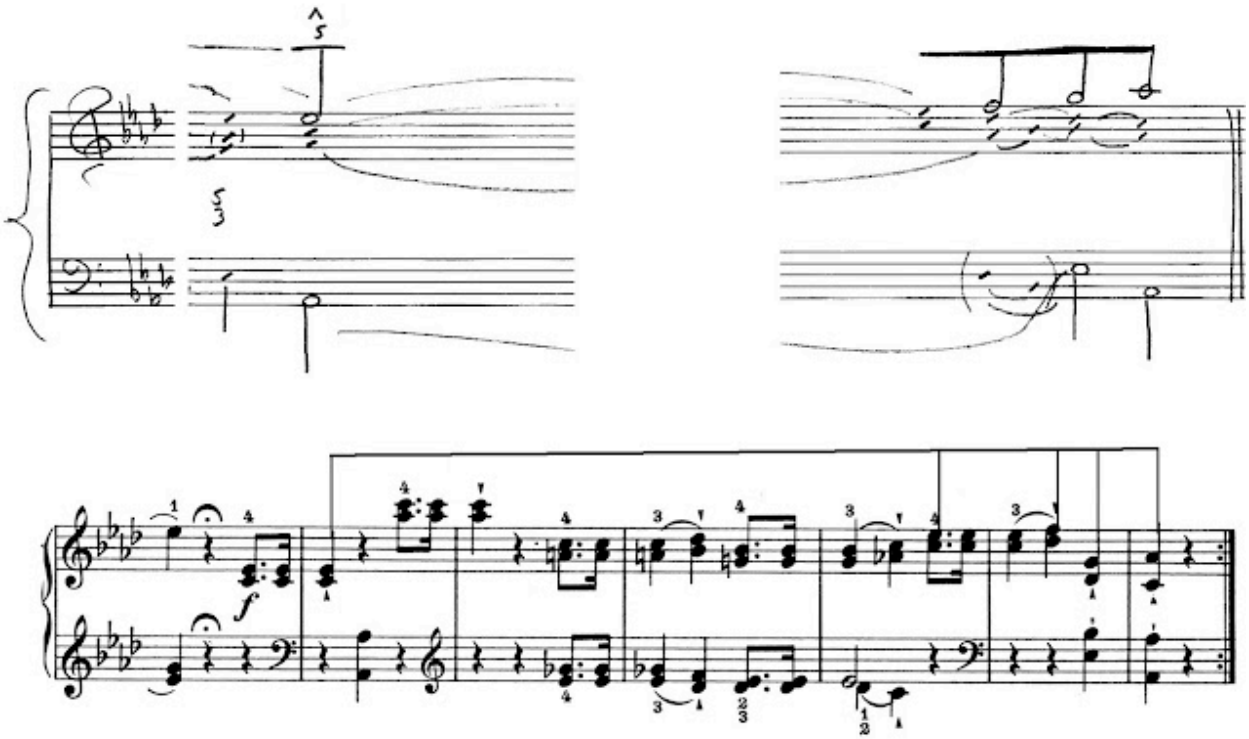
Menuetto I



In 1982, however, I read the Urlinie from ^5, not at all disturbed by its cover-tone quality, as ^5 very often sounds like that in its prolongations. The ^3 and its interruption, then, are placed in an alto voice. See the condensed version of my sketch below.

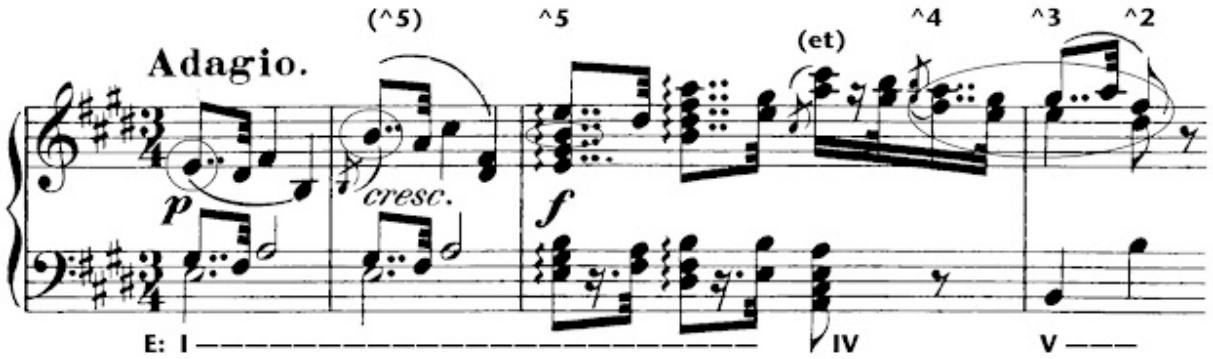


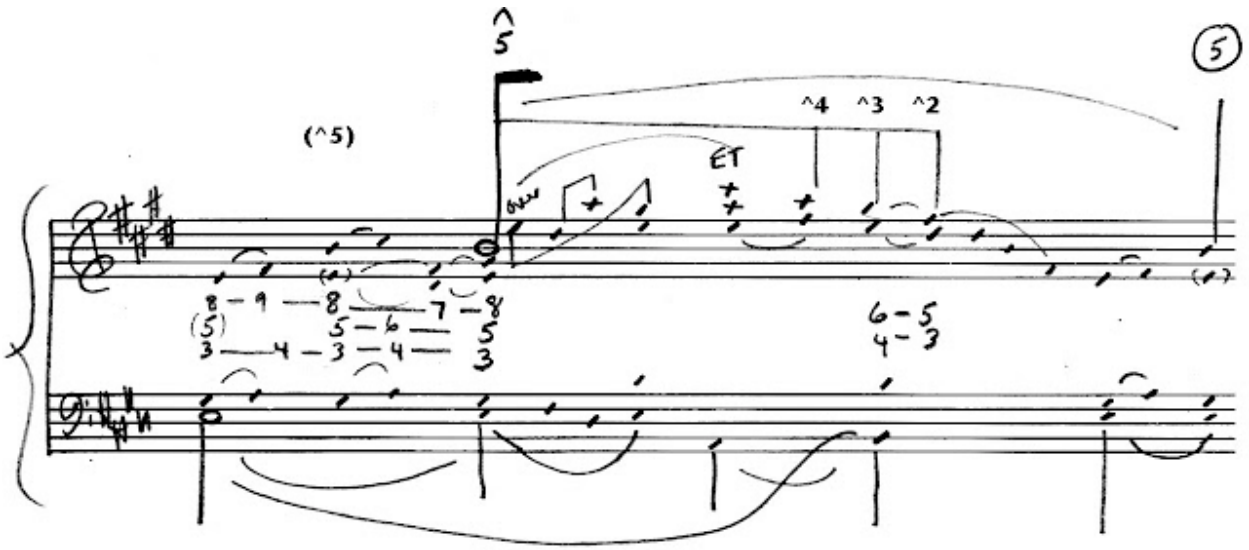
In the second strain's altered reprise, one can certainly be forgiven for wondering about ^3 again—note the prominent C6, then the double neighbor figure—but one is obliged to imply/ invent the ^2 in the cadence. A line consisting of ^5-^6-(reg) ^7-^8 is more direct and also more musically satisfying.



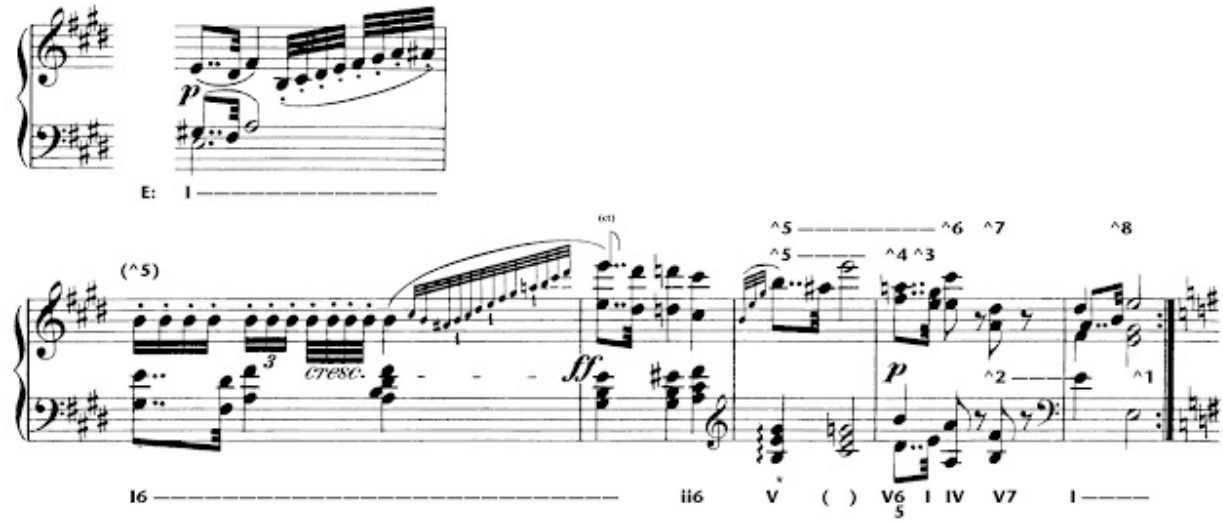
Another piece that I included In footnote 32 to my "Ascending Urlinie" article is the slow movement of the Sonata in Eb, Hob. XVI/52—this was among pieces that use one of the variants of the rising line: the form ^5-^6-(reg.)^7-^8. And again I am making use of my holograph analytical sketch from 1982. See the entire sketch here: page 1 link; page 2 link. Score links: page 1; page 2.

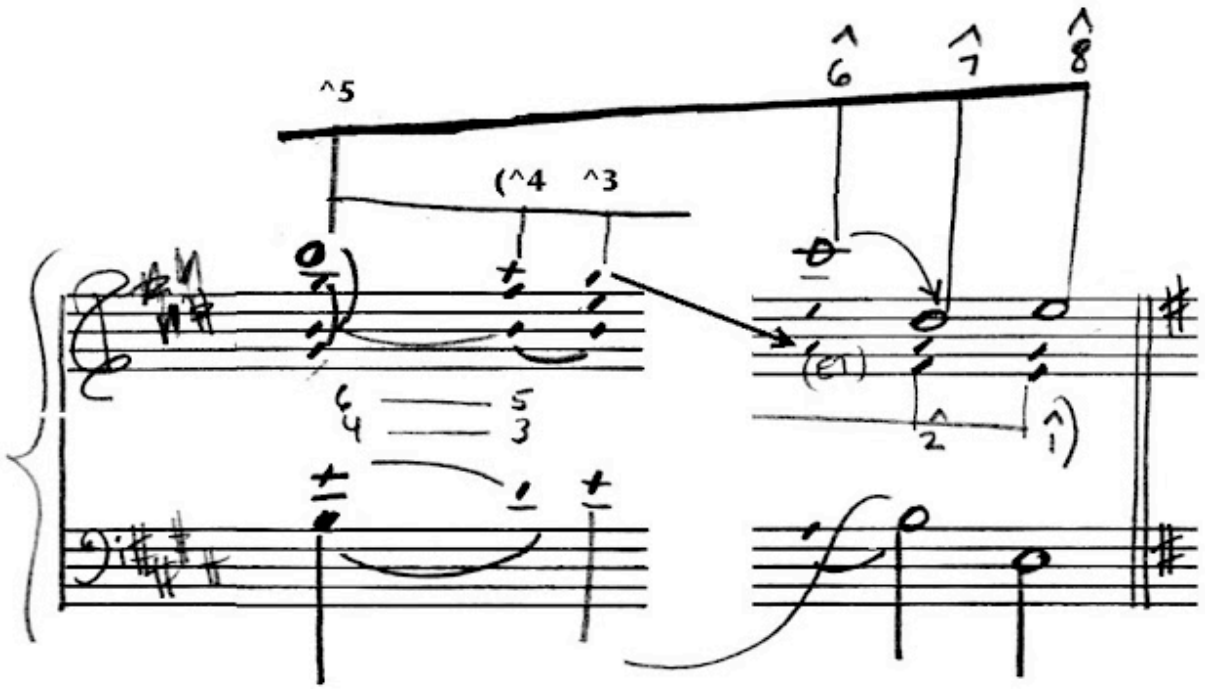
The opening phrase is more easily read from ^3 than from ^5: the end of the initial tonic prolongation is at the 32nd note topped by G#5. I chose ^5 because of its longer-range implications, specifically in the internal reprise within the A section (more on that below). My sketch of the opening, then, consigns ^3 (as G#5) to a convoluted unfolding pair; I marked it "over" for "overlap" because that's the term that my mentor, Allen Forte, used (see his Schenker textbook co-written with Steven Gilbert).





In the elaborated restatement ending the A section, ^5 (B5 in the second measure) is more obviously a cover tone, but it is the sudden sweep up from it to E6 that is the major expressive event. This radical expansion of the upward leaps from the opening bars starts a chain of leaps: B5 to E6 in the fourth measure and G#5 to C#6 in the fifth measure. The line splits at the first of these (see the two ^5s marked in the score and the branching lines in the sketch), the lower one reaching G#5 and the upper one taking C#6 before both lines drop an octave over the dominant, G#5 to F#4 and C#6 to D#5.

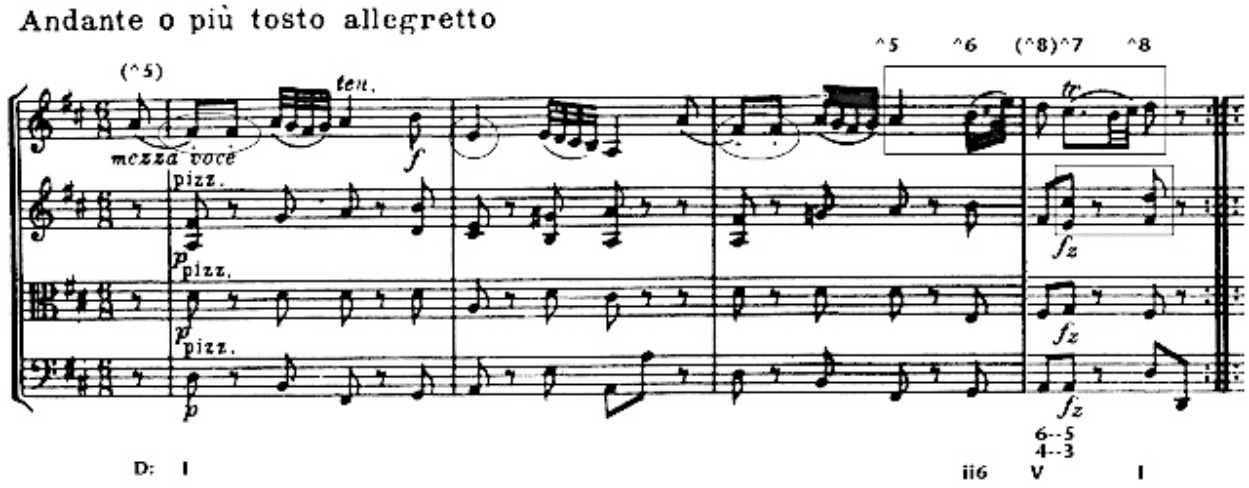




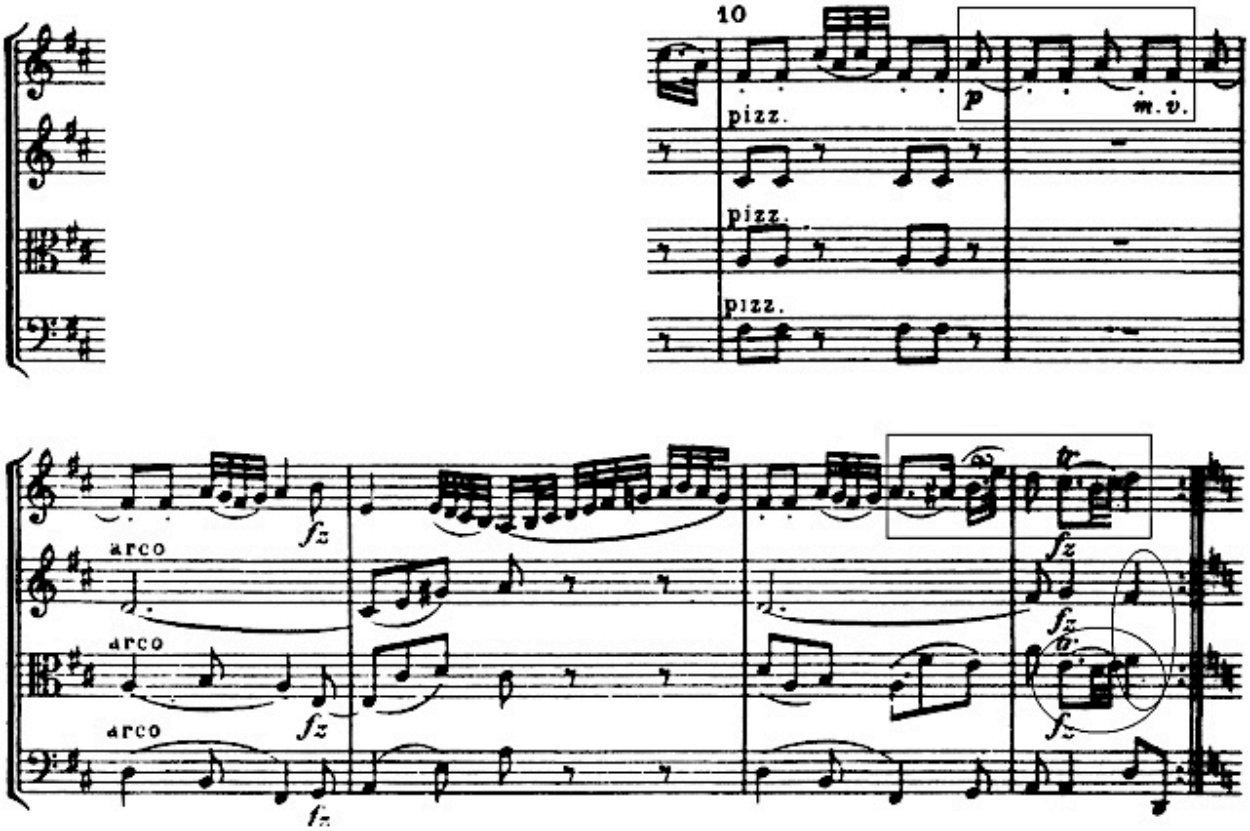
The slow movement of the string quartet, op. 76n2 was also mentioned in a footnote to my "Ascending Urlinie" article, twice in fact. In footnote 29, I included it among pieces that use the "^5-^6-(^8)-^7-^8 model or one of its variants"; in footnote 31 it was "the form ^5-^6-(reg.)^7-^8." These refer to different form sections of the piece. Of these two readings, the first is very clear, but the second I no longer agree with. Details below.

The design of the movement is ABA with an extended coda. Section B starts in the tonic minor, but is unstable (the tonic minor lasts only a bar before we settle into its own bVI region, which lasts for about half the section's duration). The reprise is complete except that a fairly lengthy coda is initiated by a deceptive cadence on what should have been the final cadential tonic.

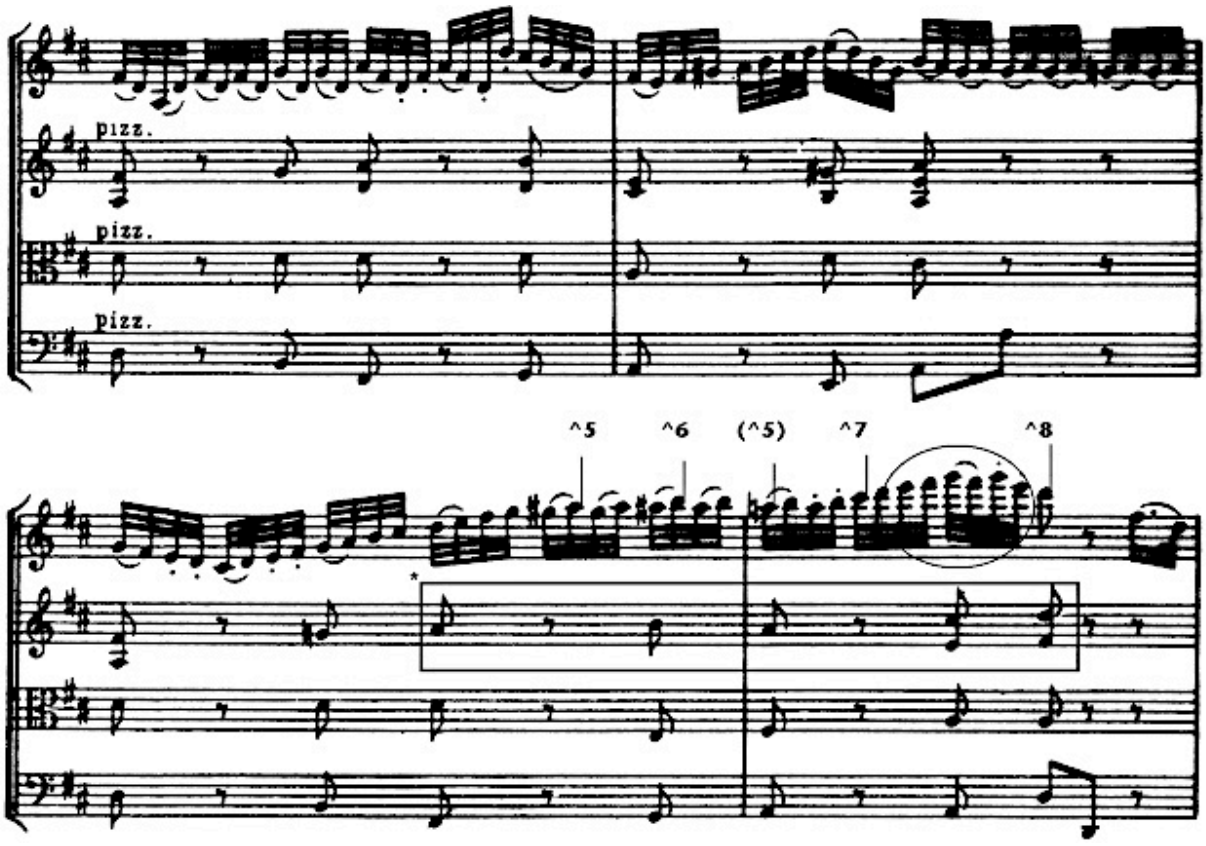
The main theme (A) is a closed small form with repeats. Its treatment of a rising background line is quite clear and straightforward: an apparent ^3 (F#) at the beginning is supplanted by ^5, which looked to be a cover tone at first but before long takes over as the principal register. Note the (^8) that supplies a note for the melody over the cadential dominant's 6/4; and ^7-^8 is doubled in the second violin.



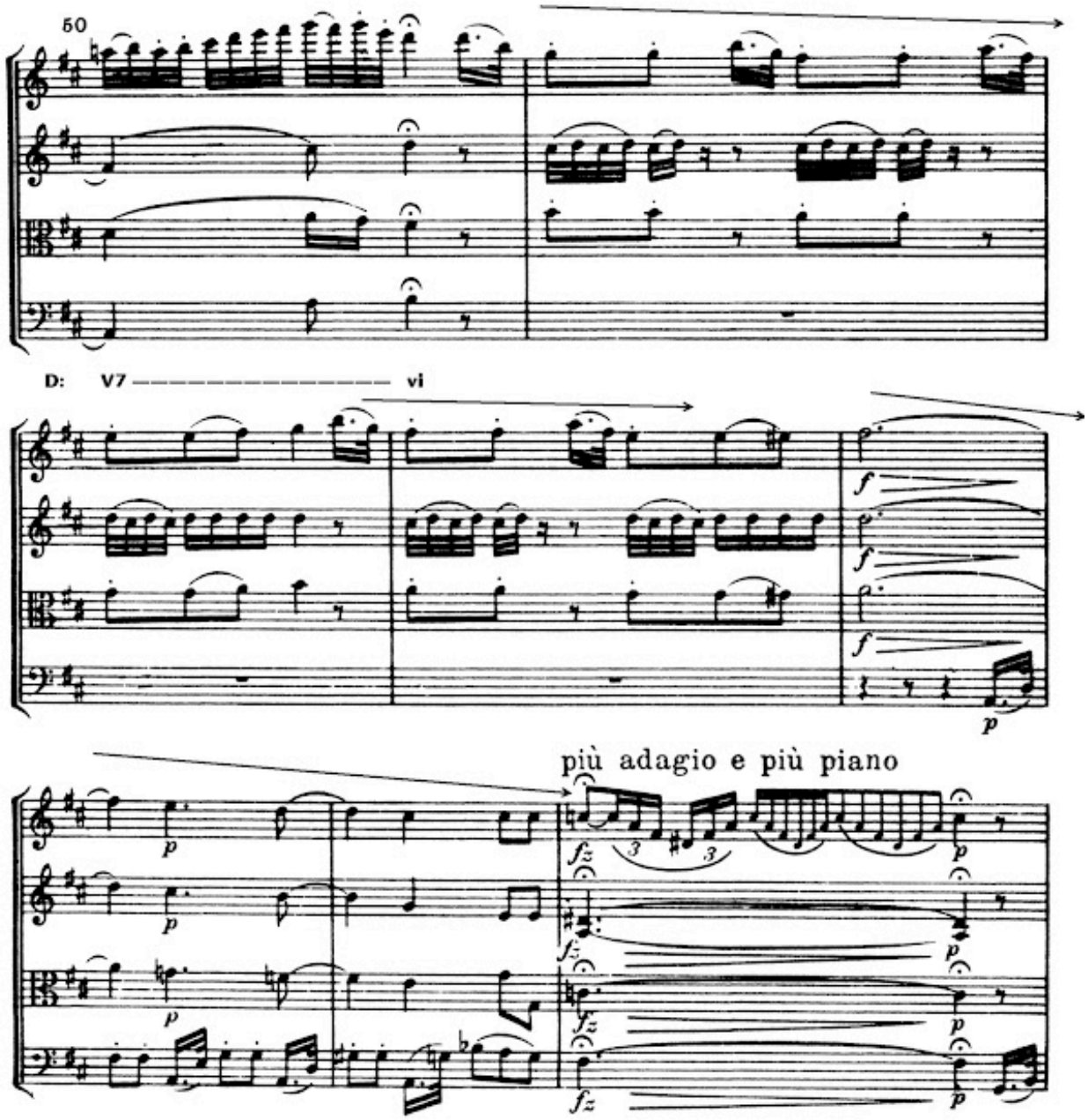
A brief B-section offers an unusual turn by ending firmly on F# minor (iii in D major; iii is generally considered the "weakest" of the diatonic triads, a characterization that extends to its tonal region). The explanation is that Haydn thus allows himself a play on the opening motive A-F#—f#: ^3-^1 turns into D: ^5-^3 without benefit of any transitioning harmonic progression. In this case, note that Haydn could easily have included the cadenza perfetta between first violin and viola but instead doubles the third of the final chord. The third was doubled in the opening statement of the theme, too, and we have to assume that there was something about the sound that appealed to him.



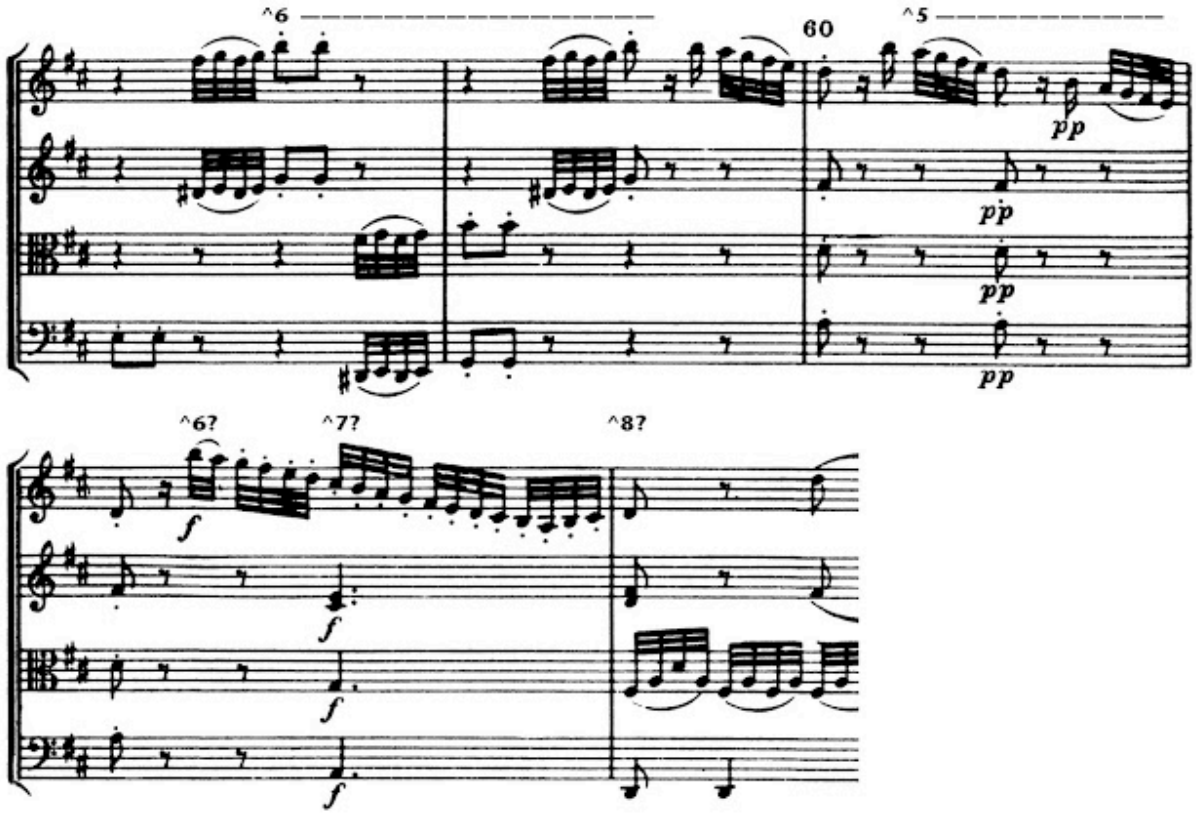
In the reprise of the A section, the Urlinie form is altered to another variant that I discuss in the *JMT* article: ^5-^6-(^5)-^7-^8. Note that the second violin follows this figure note for note (* and box).



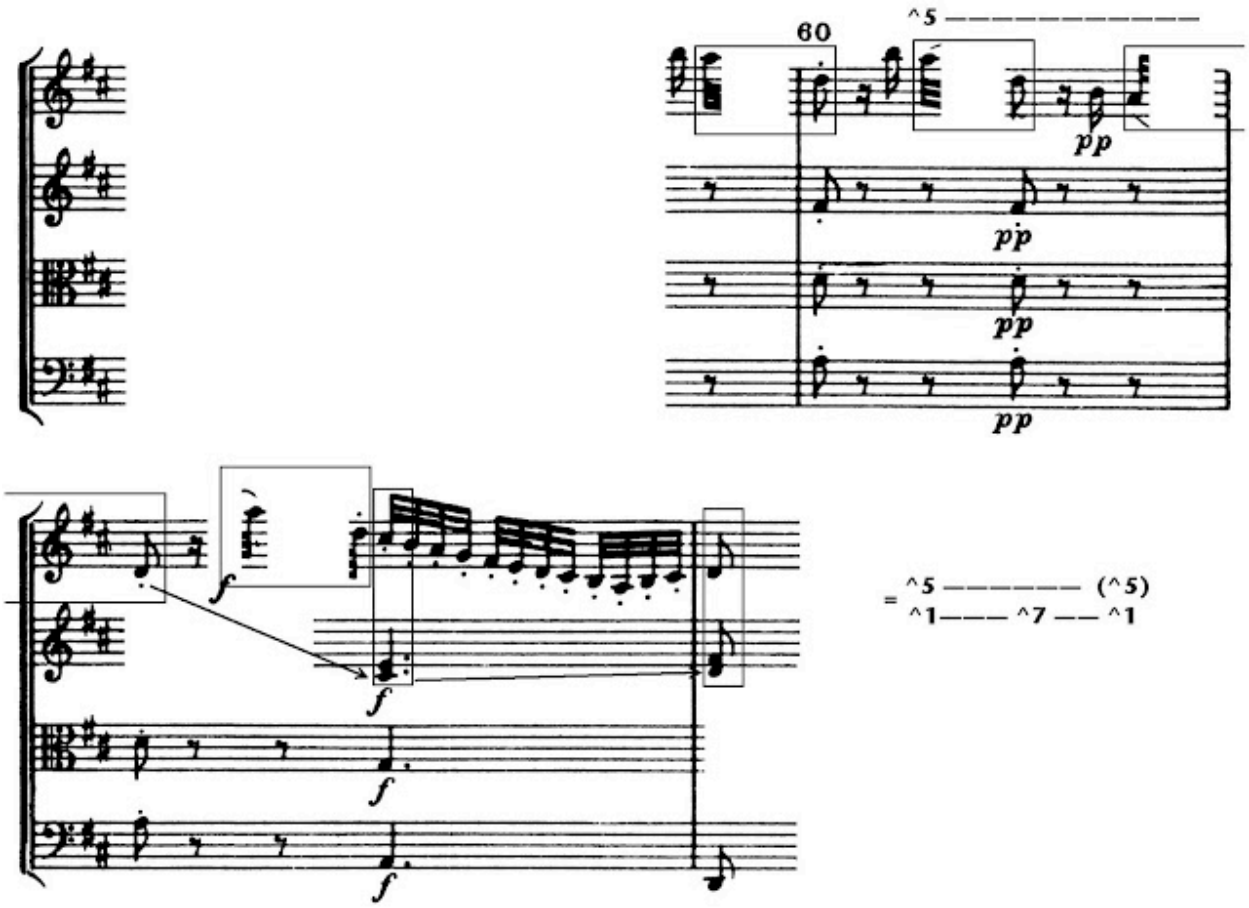
In m. 50 is the deceptive cadence I referred to above. What follows from it is a strongly profiled descent to a dramatic diminished seventh chord and a brief cadenza for the first violin (m. 57).



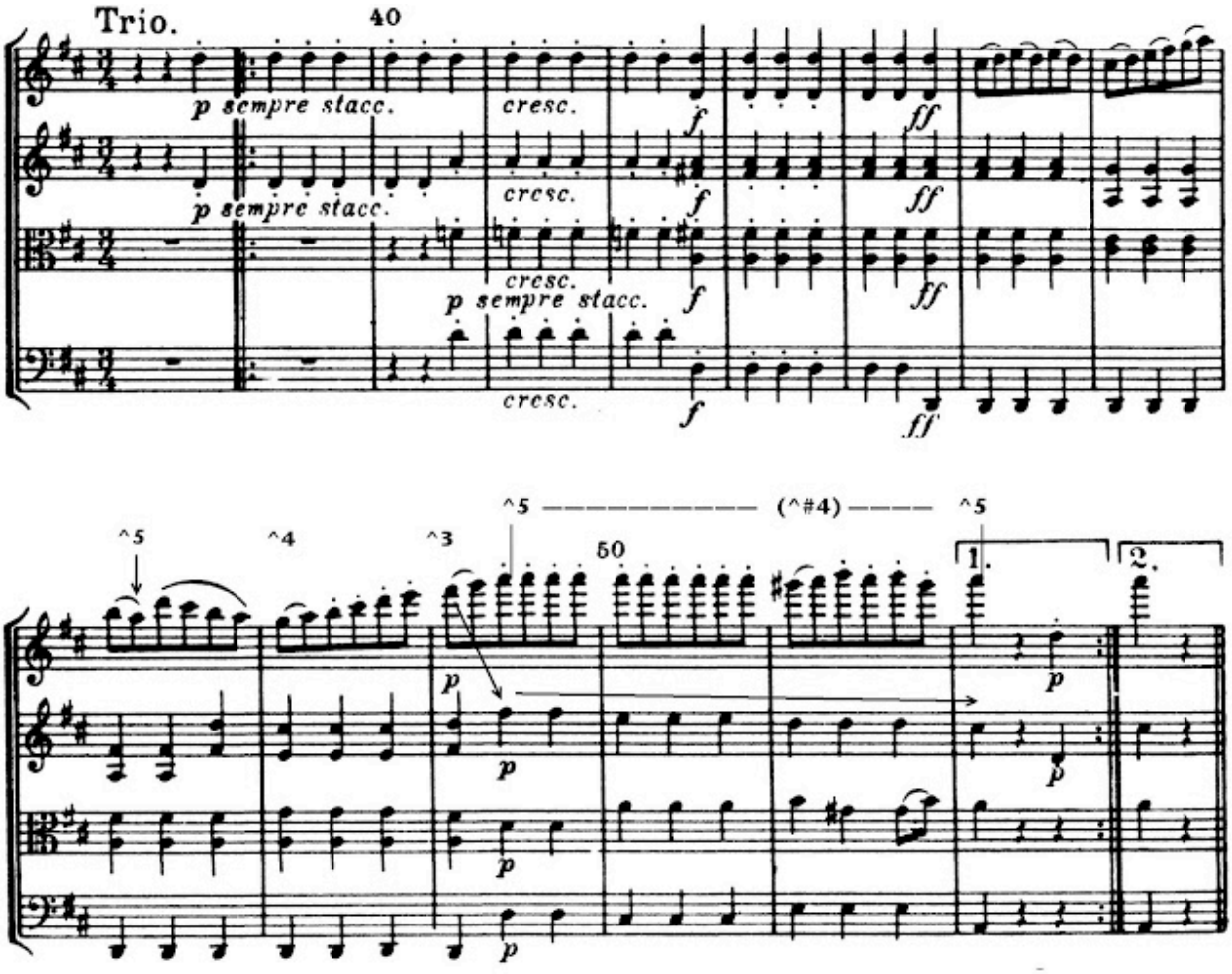
Here are the immediately following measures (58-62), which finally bring the principal cadence. In footnote 31 of the *JMT* article, I applied ^5-^6-(reg.)^7-^8 to this movement, meaning by it this ending. The treatment of register, however, is more complicated than it was in the Eb sonata or other pieces where ^6 dropped down to ^7. Here ^6 does drop to ^7 (m. 61), but ^7 also drops to ^8 (or ^1). That, combined with the downward figuration in mm. 60-61, seems to me not just to conceal but effectively to erase the rising-line formula here. Reading this as a rising cadence gesture reminds me of those tortured Schenkerian readings that dip down into inner voices or imply this and that in order to come up with an acceptable line. For this kind of event, I prefer the proto-background model—see the next example.



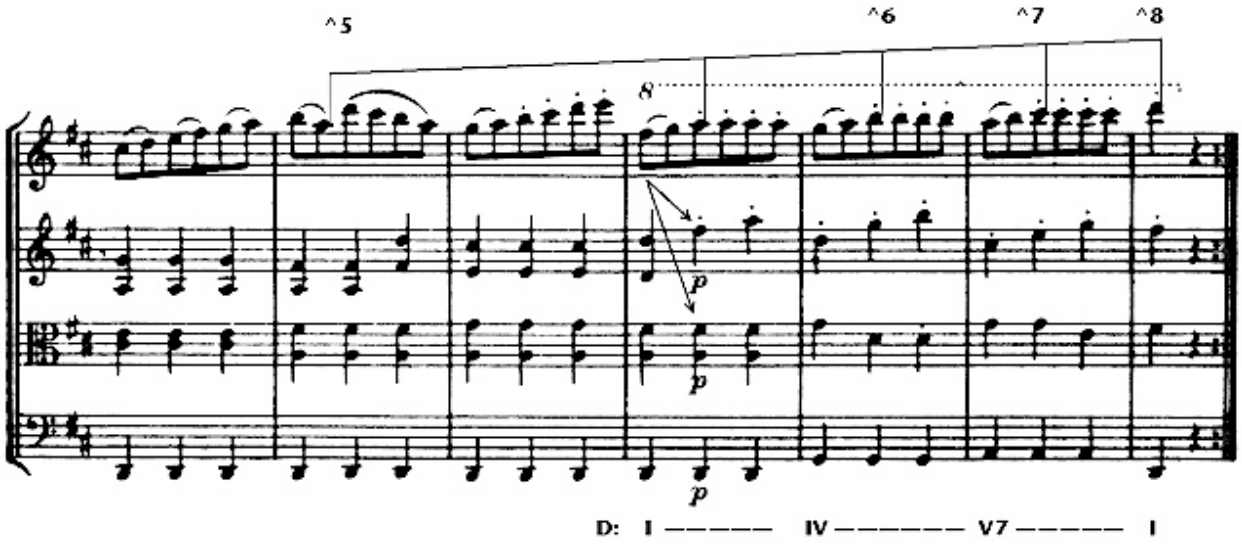
The figure that *does* make musical sense here is the fifth-frame of the violin's repeated figures in mm. 60-62. The upper end (^5) is never effectively abandoned, and the lower end (^1) moves to its lower neighbor only to fit into the cadential V7. The intervallic frame, then, is as shown at the lower right.



While pulling out from a PDF file the score of Haydn's String Quartet op76n2, second movement, I noticed for the first time some interesting shapes in the trio of the menuet. In the first strain a pedal tonic eventually allows a frequently repeated ^1 (D5) to rise to ^5 (m. 47) and then an octave higher (A6 in m. 49), where it stays until the cadence while an inner voice moves down from ^3 (m. 49) to ^7 (m. 52 in the second violin; arrow).



These melodic shapes in the first strain set up the possibility of a rising cadence gesture in the reprise, and so it happens here, in the most direct example I've seen in the music of Haydn. Everything points to the conclusion that Haydn was just as familiar with the ländler style as were Mozart and Beethoven at around the same time.


^5
^6
^7
^8
8
p
p
p
D: I ——— IV ——— V7 ——— I

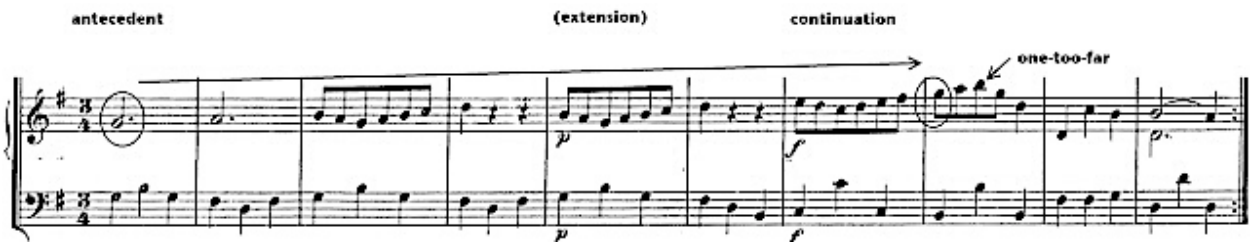
Mozart

Mozart, Menuets, K. 164 (1772)

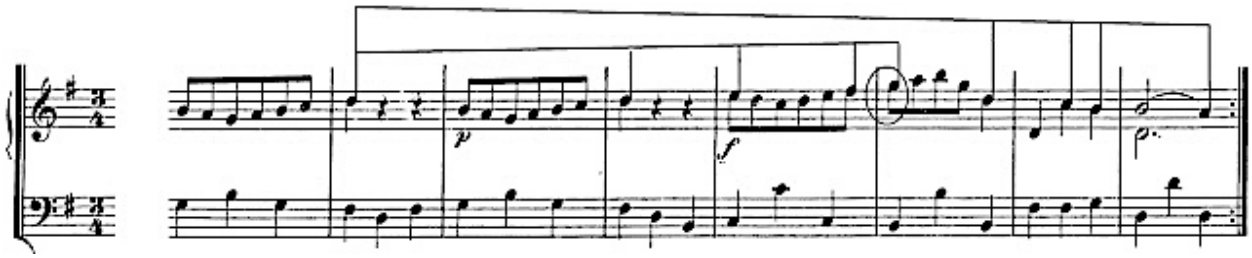
While working on a project to describe formal functions in the first strains of menuets from Mozart to Schubert (link to the essay), I noticed some ascending gestures in both n4 and its trio.

In the old *Mozart Werke*, K. 164 has four menuets and trios. Two others--titled "2 Menuette" as Series 24 N.14a--were found to belong to the set as well; these became ns 3 & 4 in the complete set of six. When I use "n4" I am referring to that number in the complete set. Here is the IMSLP link for both files: K164.

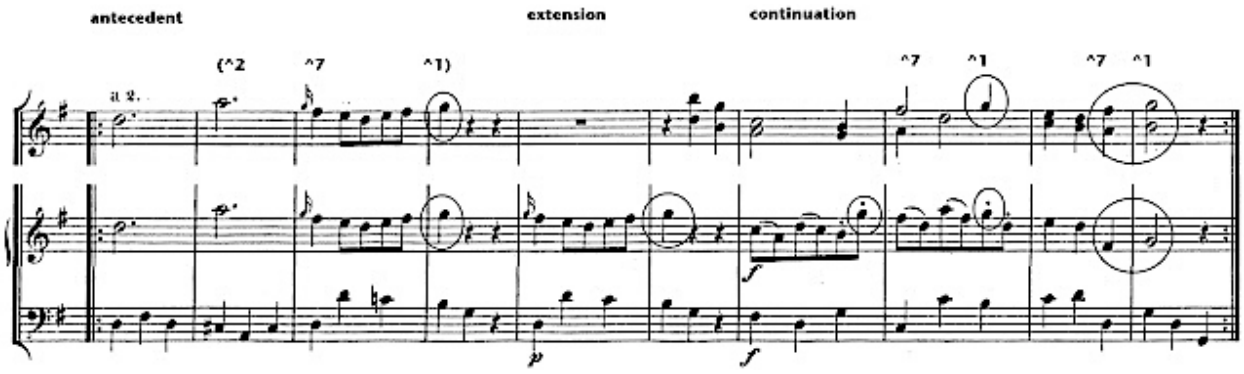
The rising scale is certainly fundamental to the first strain of n4, the entire octave G4-G5 being traversed before going one tonic chord tone "too-far" to B5 in bar 8, then dropping back. (Only violin1 and bass are shown here.)



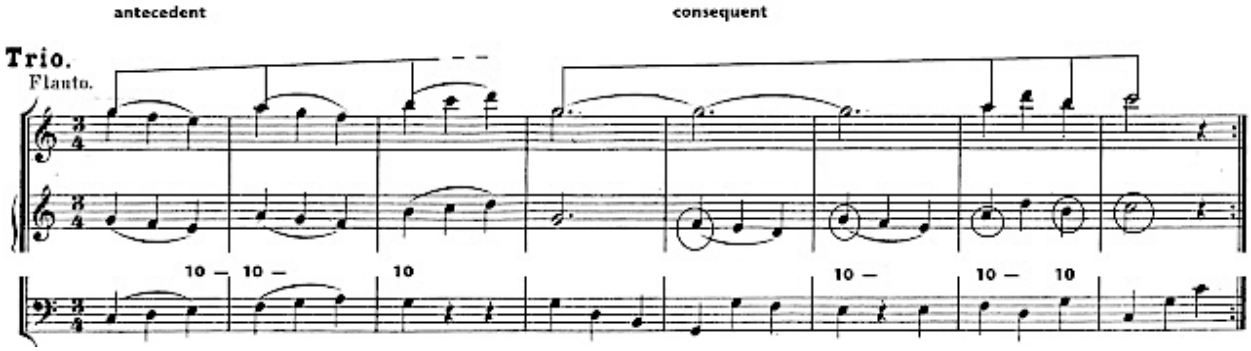
The scalar mid-point D5 is reached in bar 4 and its role firmly settled with the echoing extension of bars 5-6. The melodic design of the whole is comfortably read with Schenker-style lines:



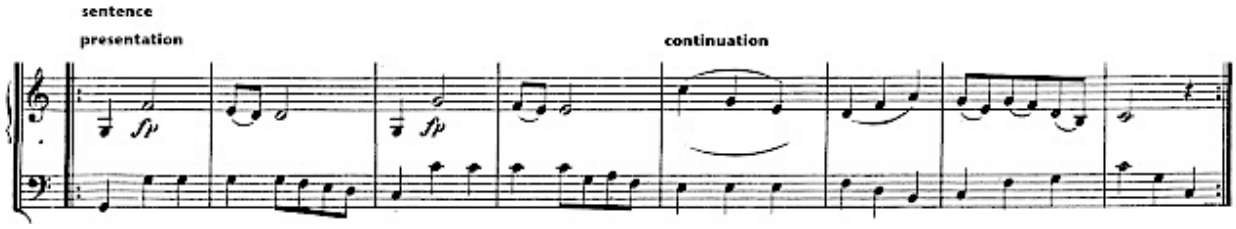
The second strain doesn't follow up on the hierarchy suggested by this arrangement of lines. Instead, it sets itself in the upper tetrachord, emphasizing ^8 with another confirming echo (bars 5-6). The parts shown are flutes, violin 1, and bass. The violins drop down an octave at the last moment (circled), but the flutes reiterate and reinforce the upper register.



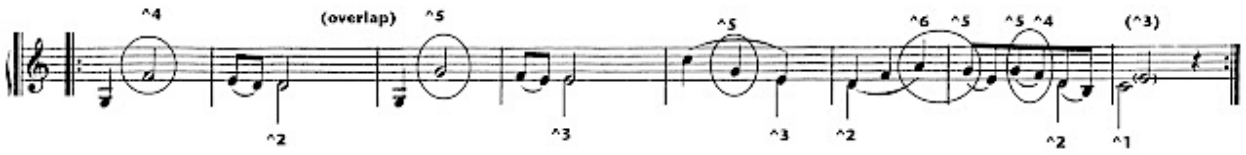
In the trio, the gesture of ascent is, if anything, even more obvious and results in a simple ascending *Urlinie* figure, ^5-^6-^7-^8, across the first strain. Parts shown are flute, violin 1, and bass.



The second strain is in a sense the reversal of the second strain in the menuet: instead of holding to the high note reached there as the end of the line (G5), here Mozart turns back to the initial note of the line (G4 in the violin). Note the (unmarked) "one-too-far" C5 in bar 5.



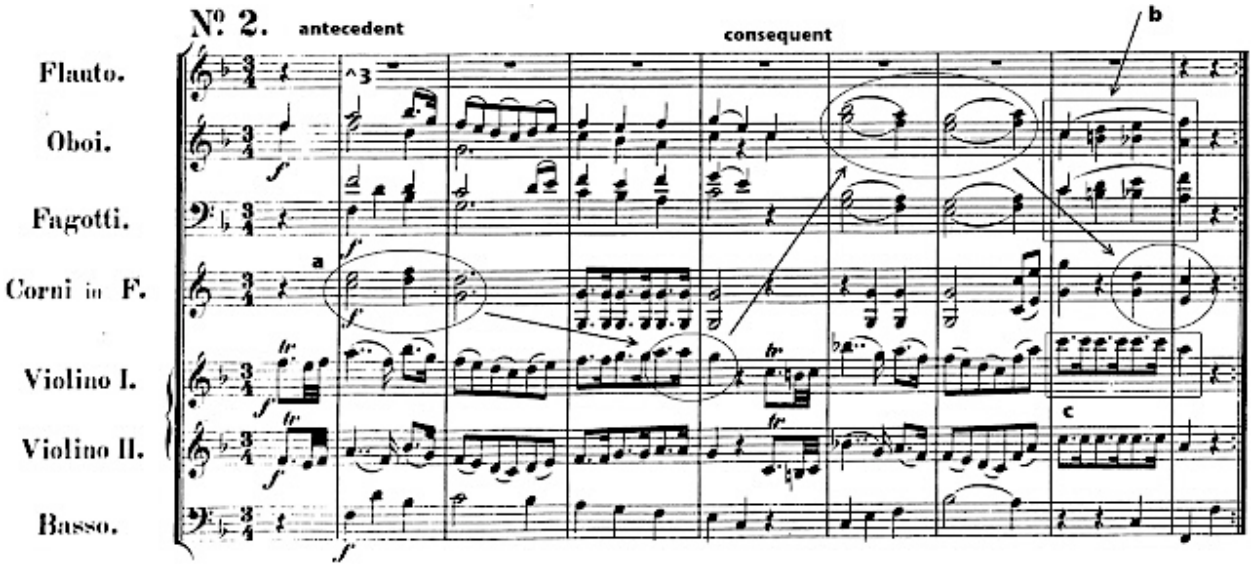
A pairing of thirds in bars 1-4 involves an overlap--F4 should resolve to E4 but is "overlapped" by the recovered G4. I've always thought this stepwise overlap (as opposed to more vigorous "reaching over") was a bit of reductive sleight of hand but it is common in Schenkerian analytic practice and there is no question that ^5 as G4 is recovered, then dominates the rest of the strain's melody. At the end is one of those "nearly audible" ^3s that later became commonplace in the waltz (and polka) repertoire.



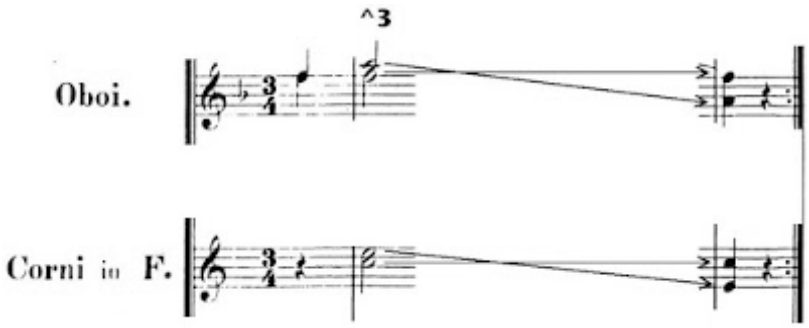
Ascending gestures in Mozart's late orchestral menuets

I recently published an essay on formal functions in the first strains of menuets from Mozart to Schubert (link to the essay) and along the way noticed ascending gestures in several pieces. Here I will write about some of Mozart's late menuets, those composed between 1788 and 1791. The pieces are K 568ns2 & 11, K 585ns1 & 3, K 599n4, and K601n1.

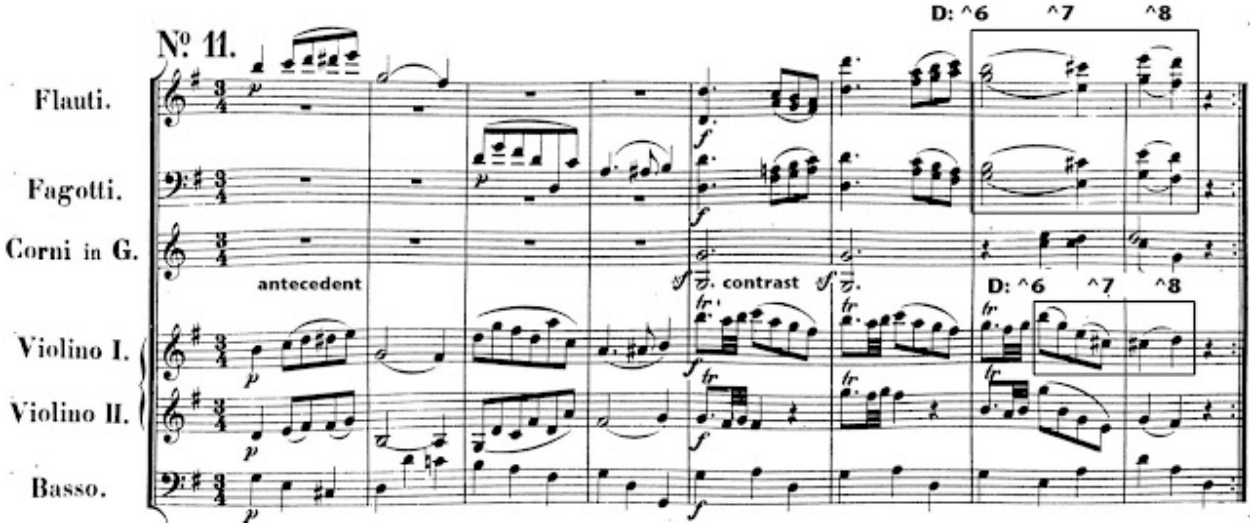
The 12 Menuets, K. 568n2. It's clear that the primary interval in the melody is the third F5-A5—see the first violins, horns, and oboes in the pickup and first beat of bar 1. The violins trace this interval again in bar 3 before moving decisively by step to G5. The consequent starts over, but the curious thing is that the violins completely abandon this lower third of the triad for the upper one, A5-C6 in bars 7 & 8 (boxed and marked "c"). --- I've traced the proto-background F5-A5 (as ^1-^3) a different way: starting at "a" with the horns in bar 1 follow the circles and arrows from horns to violins to oboes to horns again. Notice that the rising line in oboe 1 and bassoon 1--boxed at "b"--is an accompanying line in the cadence. We will see Mozart introduce figures like this in subsequent examples.



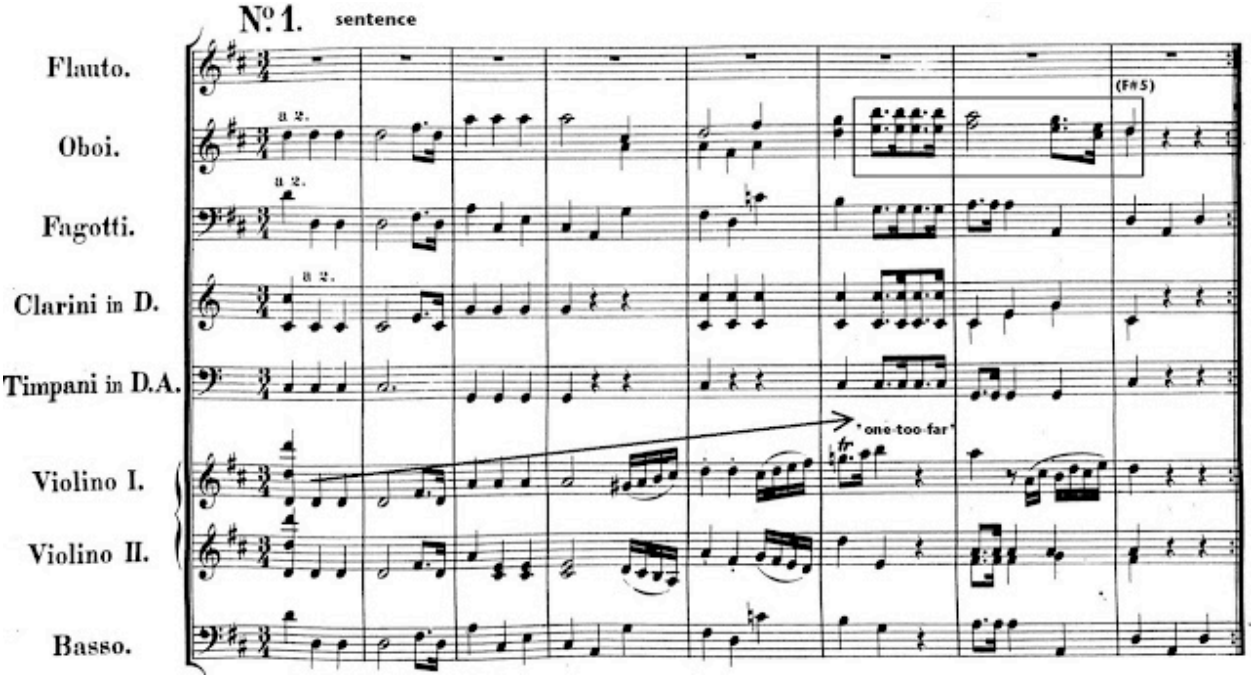
Here is the proto-background and its transformation, which I call INV (for inversion), isolated in the oboes and horns at beginning and end.



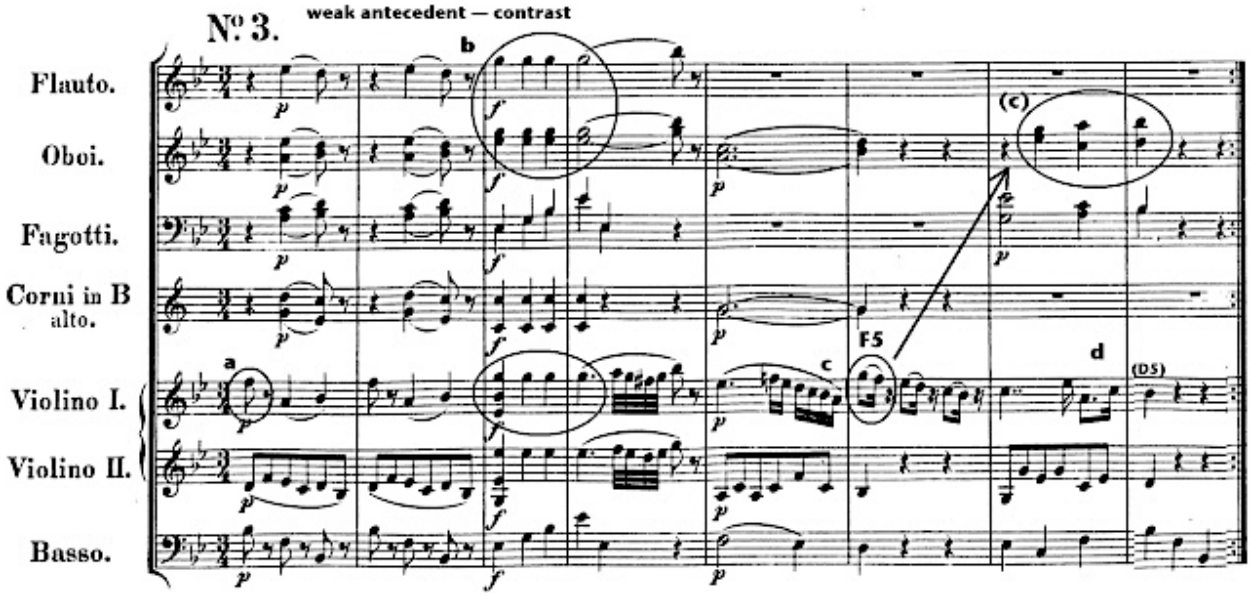
In the same set, n11, despite a decidedly angular melodic line in the antecedent phrase and a strongly contrasting second phrase, is squarely settled on scale degree ^3: B4 in the first phrase, B5 in the second phrase. In bar 7 that B5 turns from G: ^3 into D: ^6 and moves plainly up the scale in flute 1 and bassoon 1 while tracing the same path in the first violins but with register shift. I have argued in the past for this move from ^6 *down* to ^7 as a legitimate variant of the rising line but have occasionally worried about it, too. In instance, there is no doubt whatever about the origin of the first violins' figure in the voice leading of the flutes and bassoons.



In the first of 12 Menuets, K585, the first violins send a rocket figure through and past the presentation phrase, eventually going one-too-far to B5 (^6) over the subdominant, then settling back to ^5. In the cadence, the violins drop an octave and trace a line up in the sixteenth notes. In this instance again, the flutes move against the violins, but down: ^6-^5-^4-(^3), the last being what I call a hanging third or implicit third: we certainly *ought* to hear it given the shapes that precede bar 8.

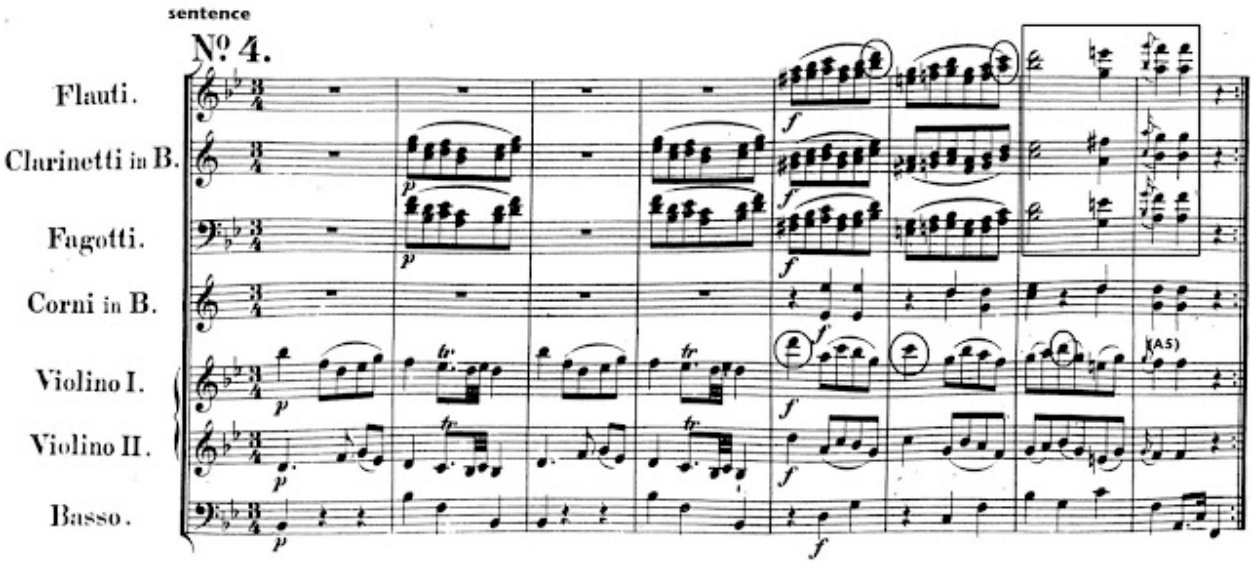


In the same set, n3 finally brings the scalewise ascent in the cadence to the uppermost register. A firm ^5 as F5--at "a"--moves up a step in the contrasting idea, circled at "b," is recovered at "c" (bar 6), and moves upward in the first oboe (doubled in the second bassoon). Against the oboe, the first violins at "d" produce another hanging third as C5 moves directly to Bb4 while Eb5 produces a lingering hint of D5.

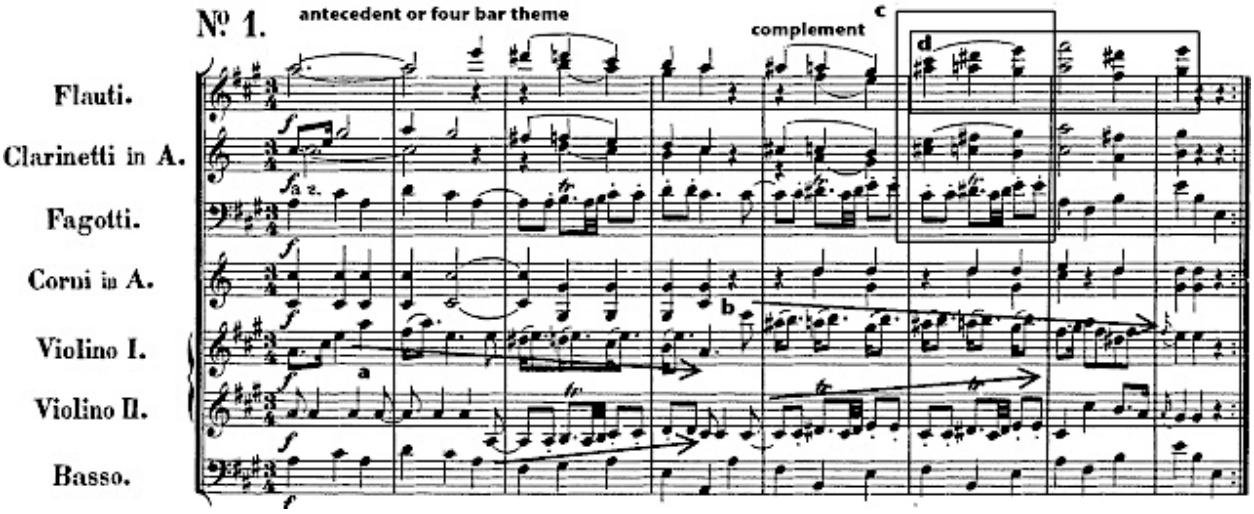


The first strain of K599n4 is a textbook sentence, though one might count against it the literal repetition of the basic idea, complete with orchestration, in bars 3-4. The continuation phrases brings its fragmenting sequence down by step from D6, circled—note the "mirroring" D6 in the

flute at the end of the bar—to C6, then Bb5, the final bar producing still another hanging third, A5. The first flute, however, regains D6 and—resoundingly doubled by the other winds—moves upward D6-Enatural6-F6, as F: ^6-^7-^8. The design of this cadence is quite close to K 585n3.



The Four Menuets, K601 were composed in early February 1791. Among these, n1 is a curiosity in its complexity and its emphasis on chromaticism. One can imagine a bored Mozart setting himself an interesting challenge just to see what he could make of it. The wedge figure in the antecedent—see the arrows in the two violin parts—is repeated at the dominant level to open the complementary phrase, but with some changes. The lower voice in bar 5 is a third farther away from the upper one: D#5 against A3 to begin bar 3 is now C#4 against A#5, or six half-steps become nine. In bar 6, the counterpoint is effectively inverted at the octave by the doubling of the second violin in the first flute -- boxed at "c" -- and the flute then completes the figure to close -- see the box at "d".



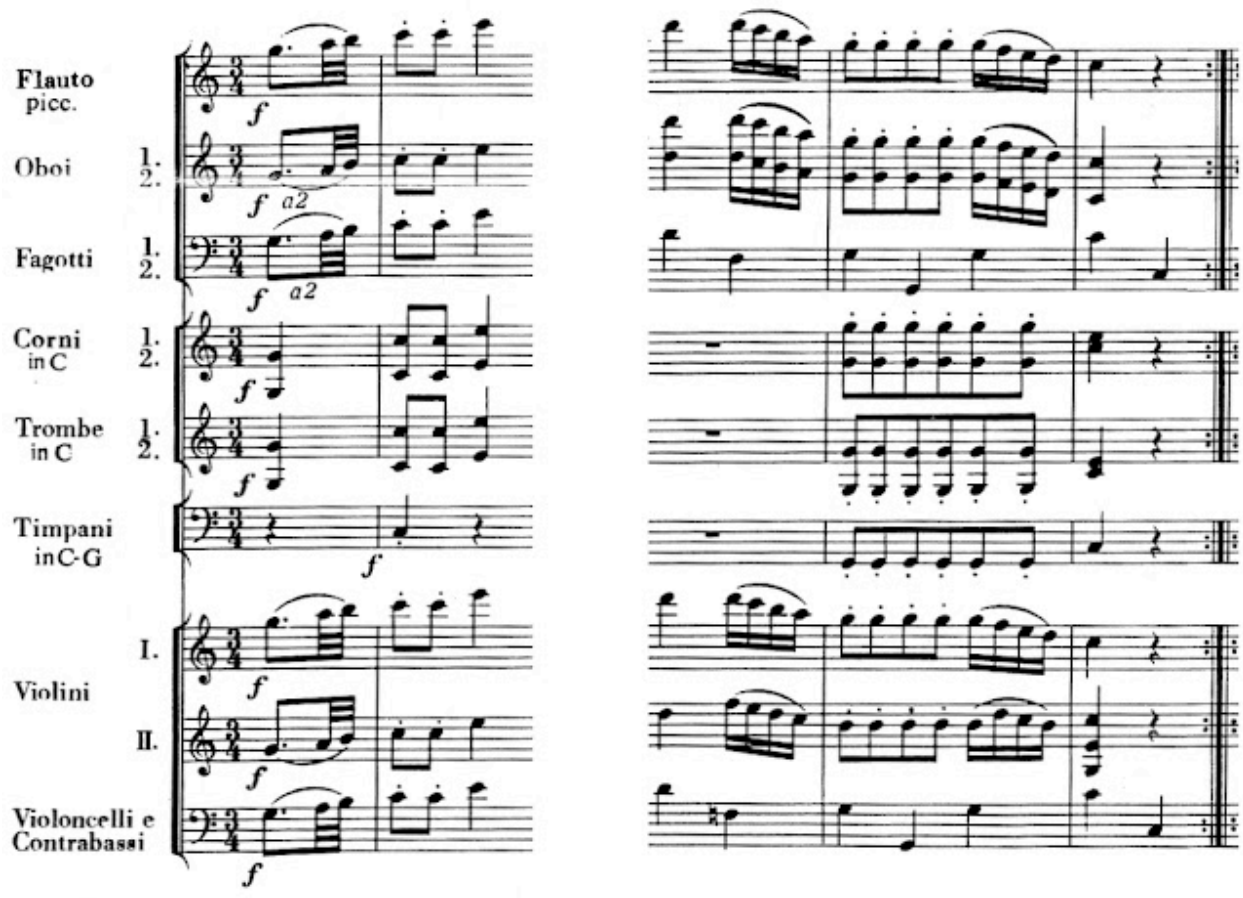
Part IV: From 1790 to 1830

Between Mozart and Schubert (Süssmayr, Dittersdorf, Sophia and Jan Dussek, Hummel)

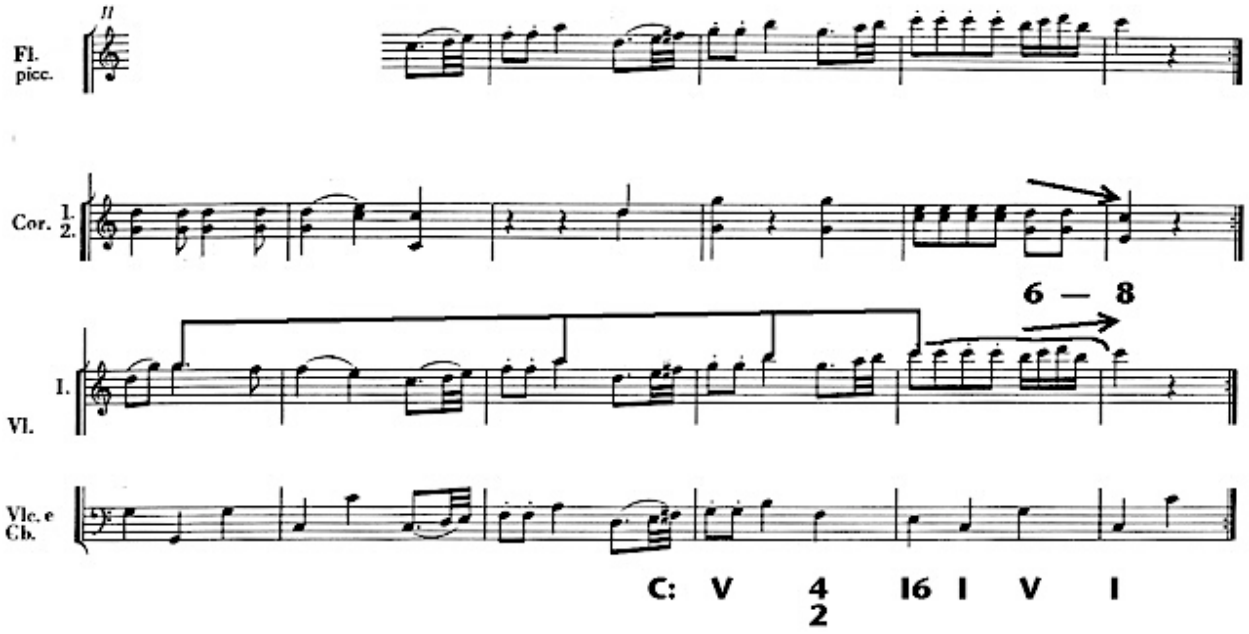
Süssmayr

Franz Xaver Süssmayr, not long after finishing Mozart's Requiem, wrote a set of 12 menuets for a ball in the Redoutensaal, the same Imperial hall for which Mozart himself wrote dances and for which Beethoven wrote the Menuets, WoO7 and Deutsche Tänze, WoO8. Both of Beethoven's sets were played in the same 1795 season as Süssmayr's.

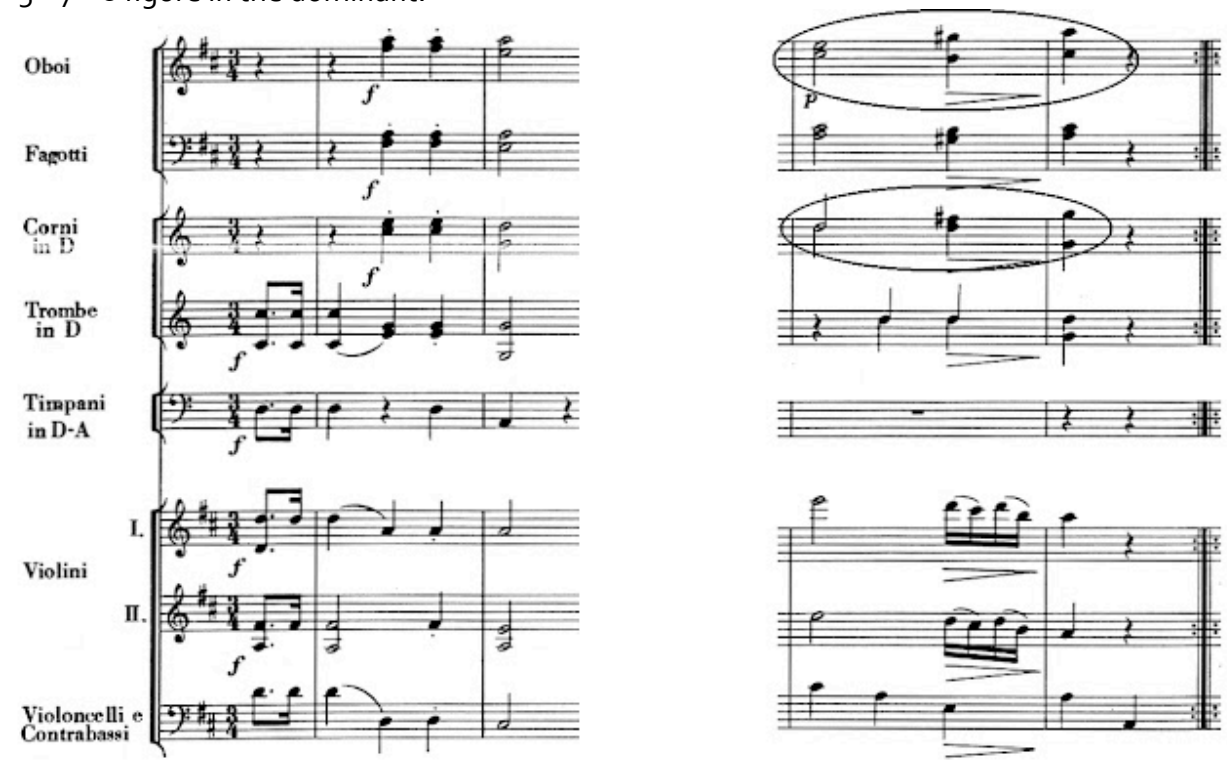
The opening of the first menuet has the processional/refrain quality that I alluded to in connection with WoO8n1 (link), and at first it seems equally unpromising with respect to rising cadence gestures.



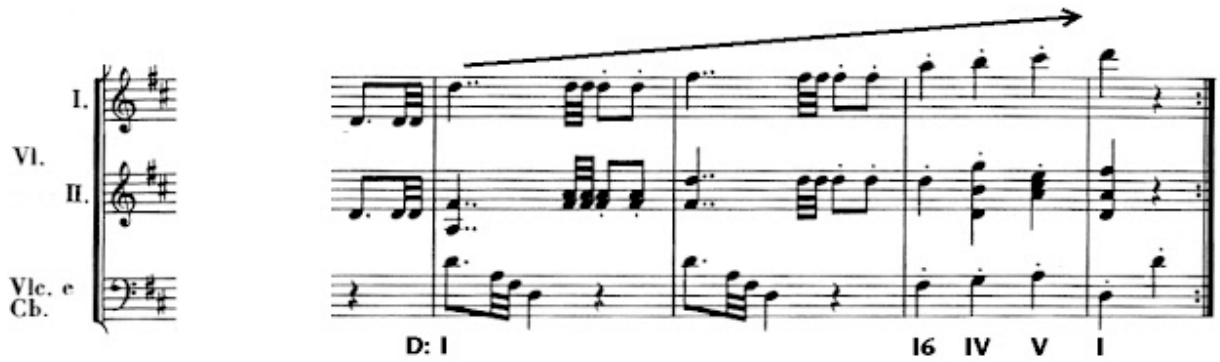
But instead of no promise, a surprise. Not only do the 1st violins rise steadily through the scale in the second strain, but their progress is rendered unmistakable by accompaniment of the piccolo. Note that the first Horn, with the 1st violins, accomplishes the cadenza perfetta.



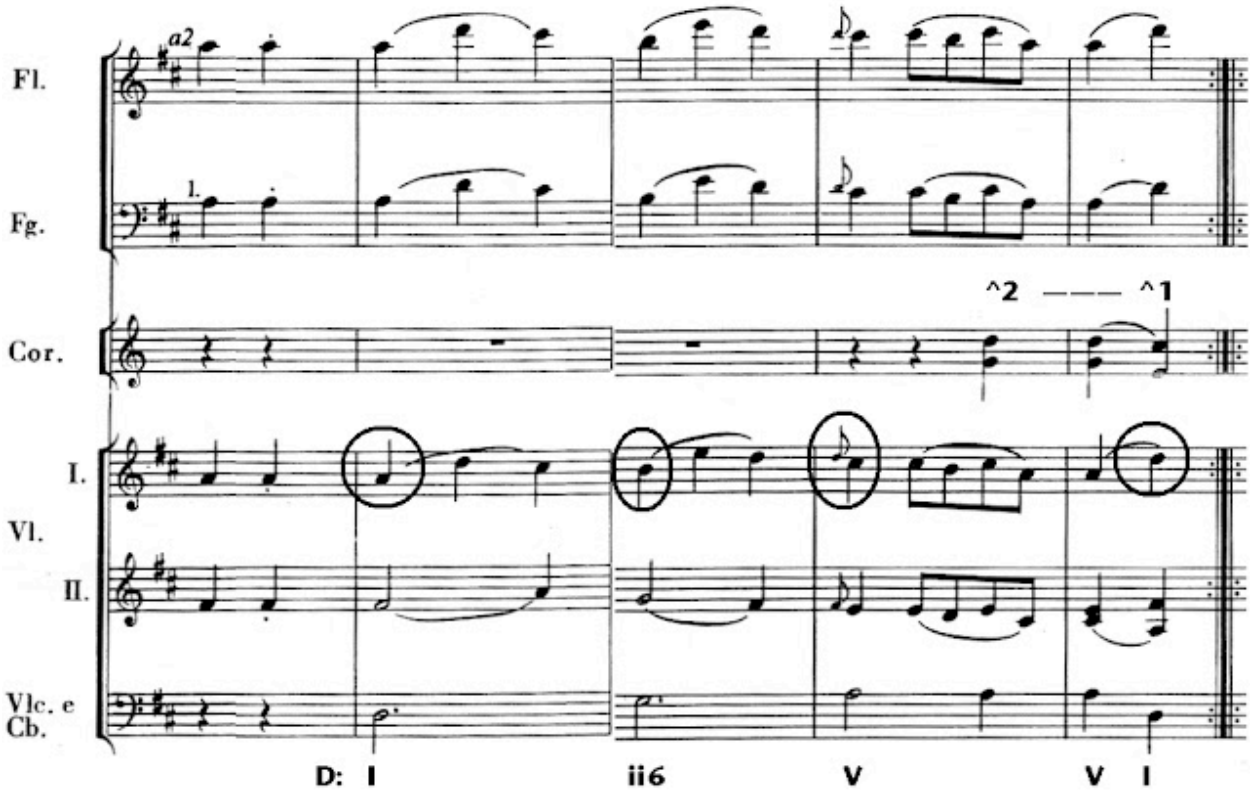
One other menuet marks a similar figure. Here again the principal melody does not offer any hint of a cadence figure in the first strain, but the first oboe and first Horn do at least produce a ^5-^7-^8 figure in the dominant.



As in no. 1, however, the menuet ends with a quite determined move upward. Note that Süssmayr avoids parallels in the penultimate bar with some violinistic double-stops.

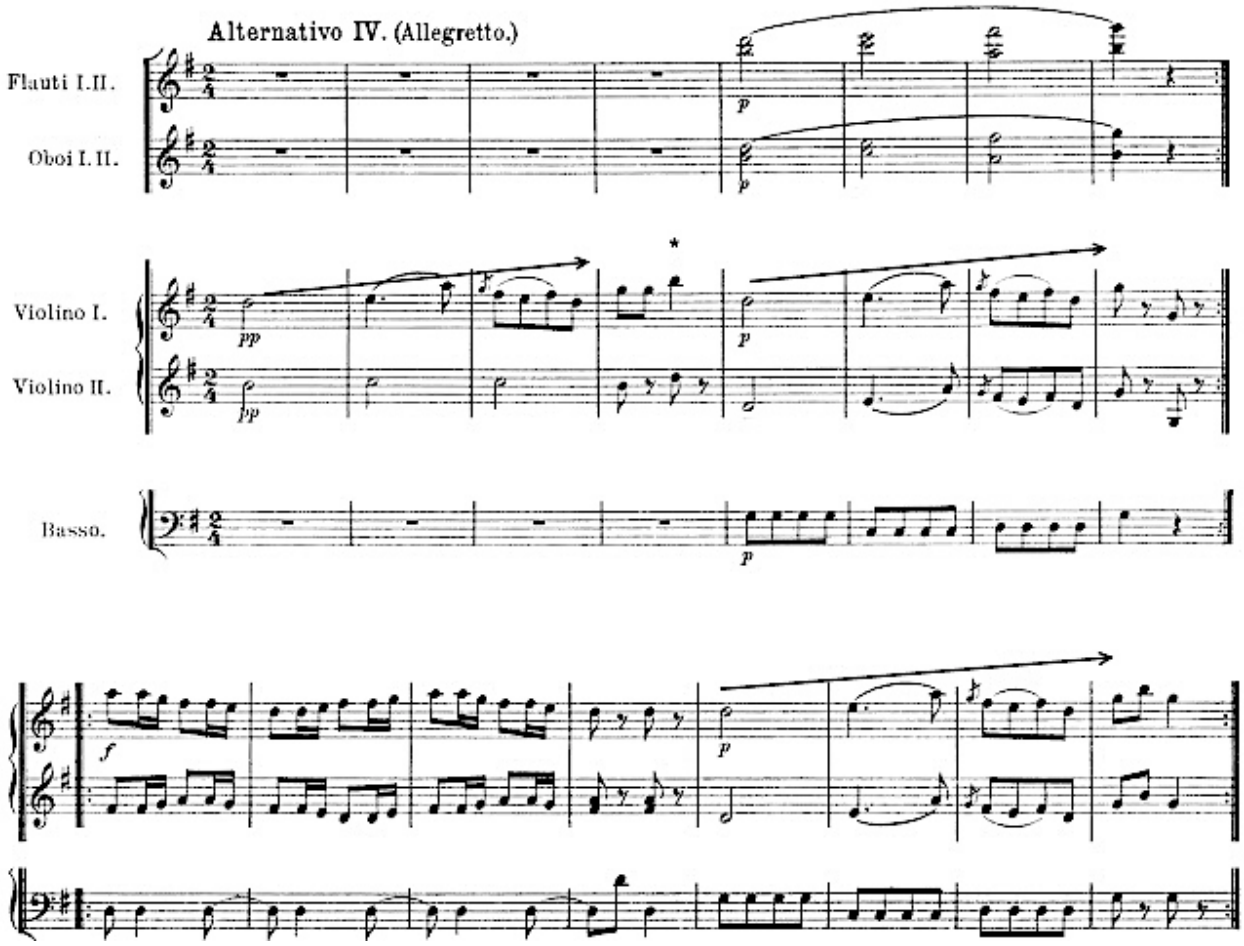


In the trio, on the other hand, the antecedent already uses a rising motive, which is dutifully filled out in the consequent (which is shown here):



Dittersdorf

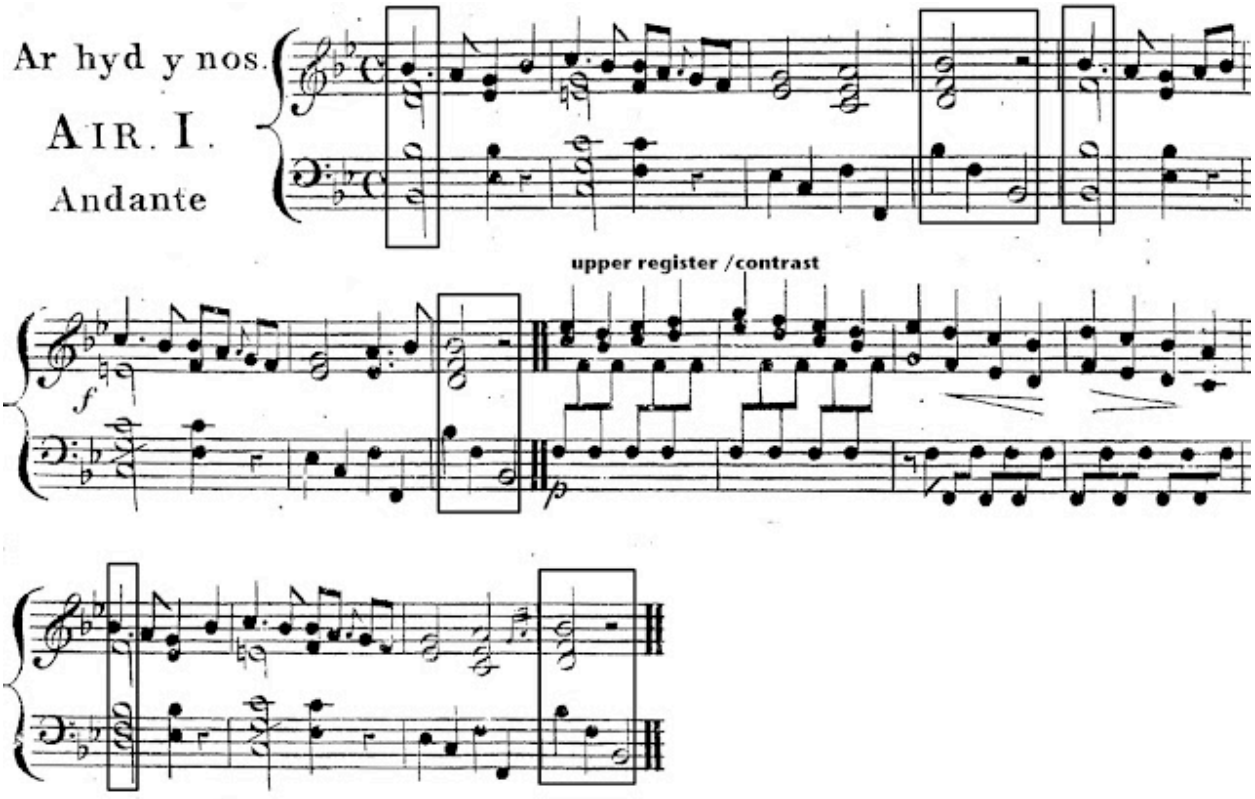
Carl Ditters von Dittersdorf's *Brief Ballet in Form of a Contredanse* is an Anglaise (a schottisch or ecossaise) with five trios and a vigorous coda. The fourth trio (or "Alternativo") consists of four phrases, three of which trace the same ascent from ^5 to ^8. All 16 measures, but only the relevant orchestral parts, are shown here.



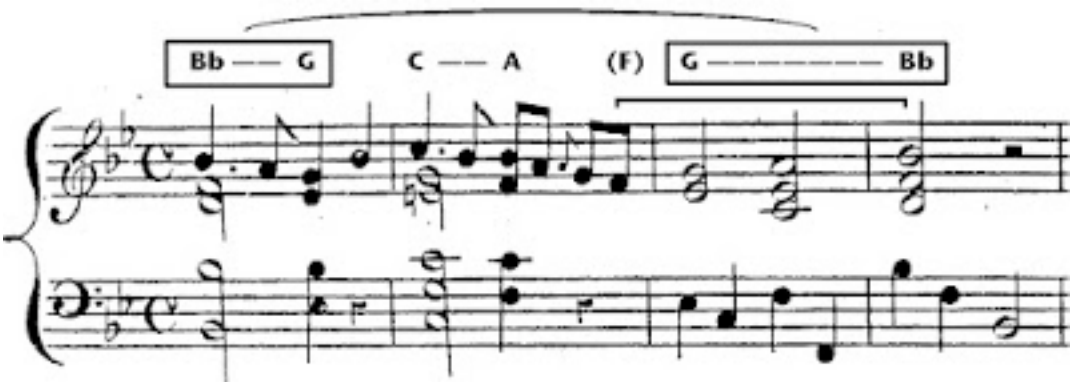
Sophia Dussek

Sophia Dussek was born into the Corri family, Italian musicians resident in Edinburgh, Scotland. By the 1790s, she was in London and spent most of her professional career as a composer, teacher, and music publisher there.

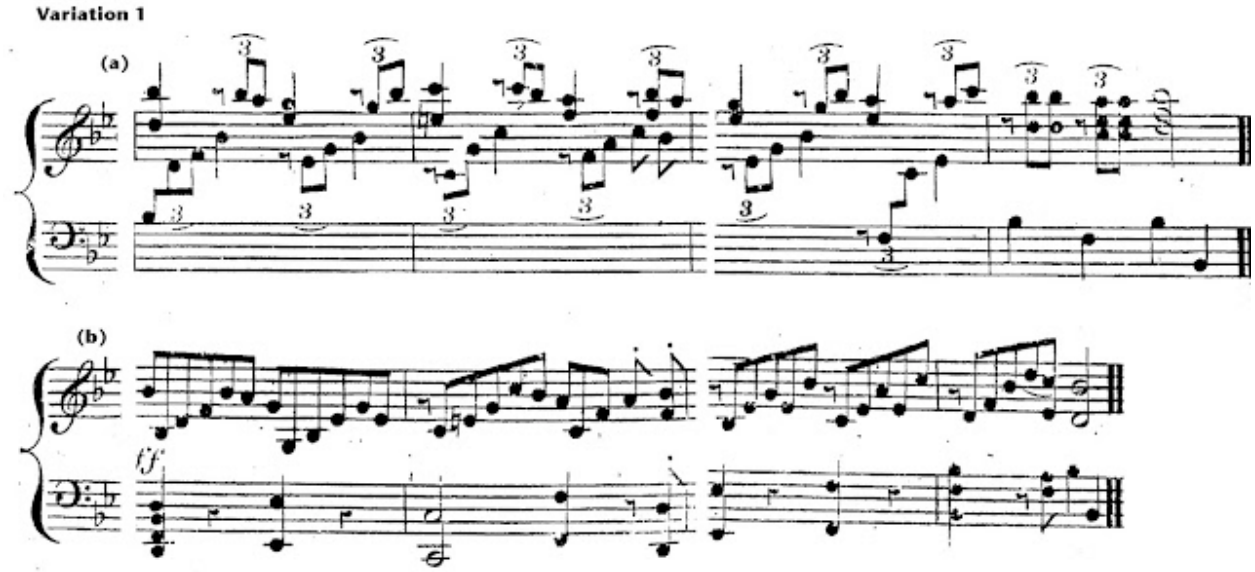
The tune she used for the first of *Three Favorite Airs, with Variations for the Harp*, book 1 (publication date unknown: could be as early as 1794 or as late as 1825), however, is Welsh and very familiar: "Ar hyd y nos," known in English as "All Through the Night." Three of the four phrases in this simple tune are the same, and each has a perfect authentic cadence. Note the tight frame of tonic chords that results:



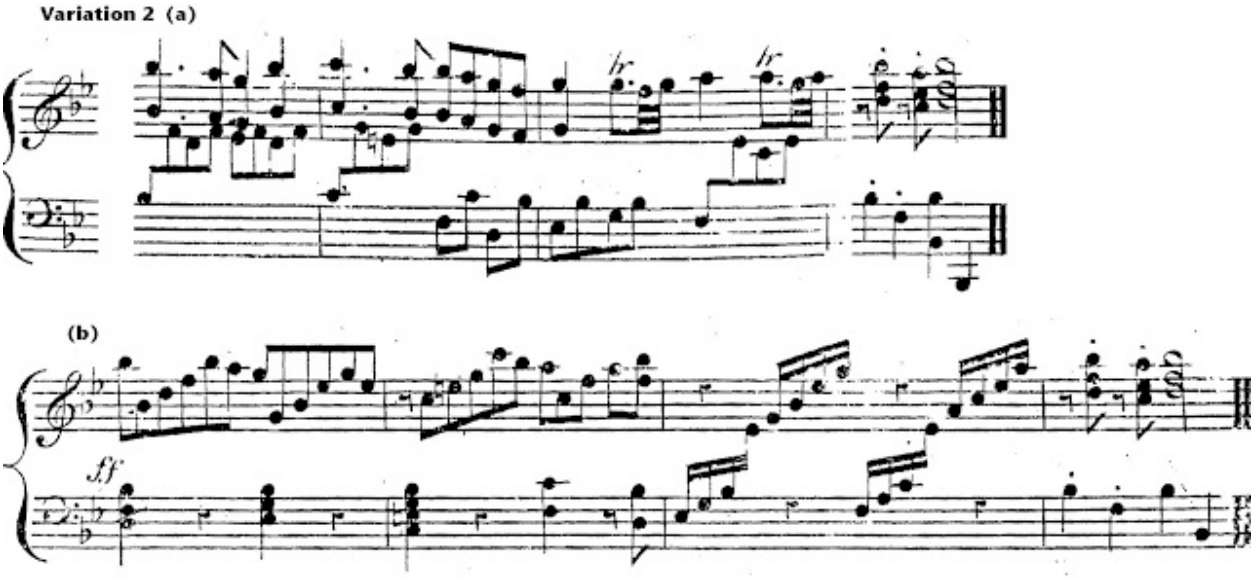
The frame goes further, though: the opening gesture is repeated in reverse to close, resulting in a rising cadence gesture (bracket):



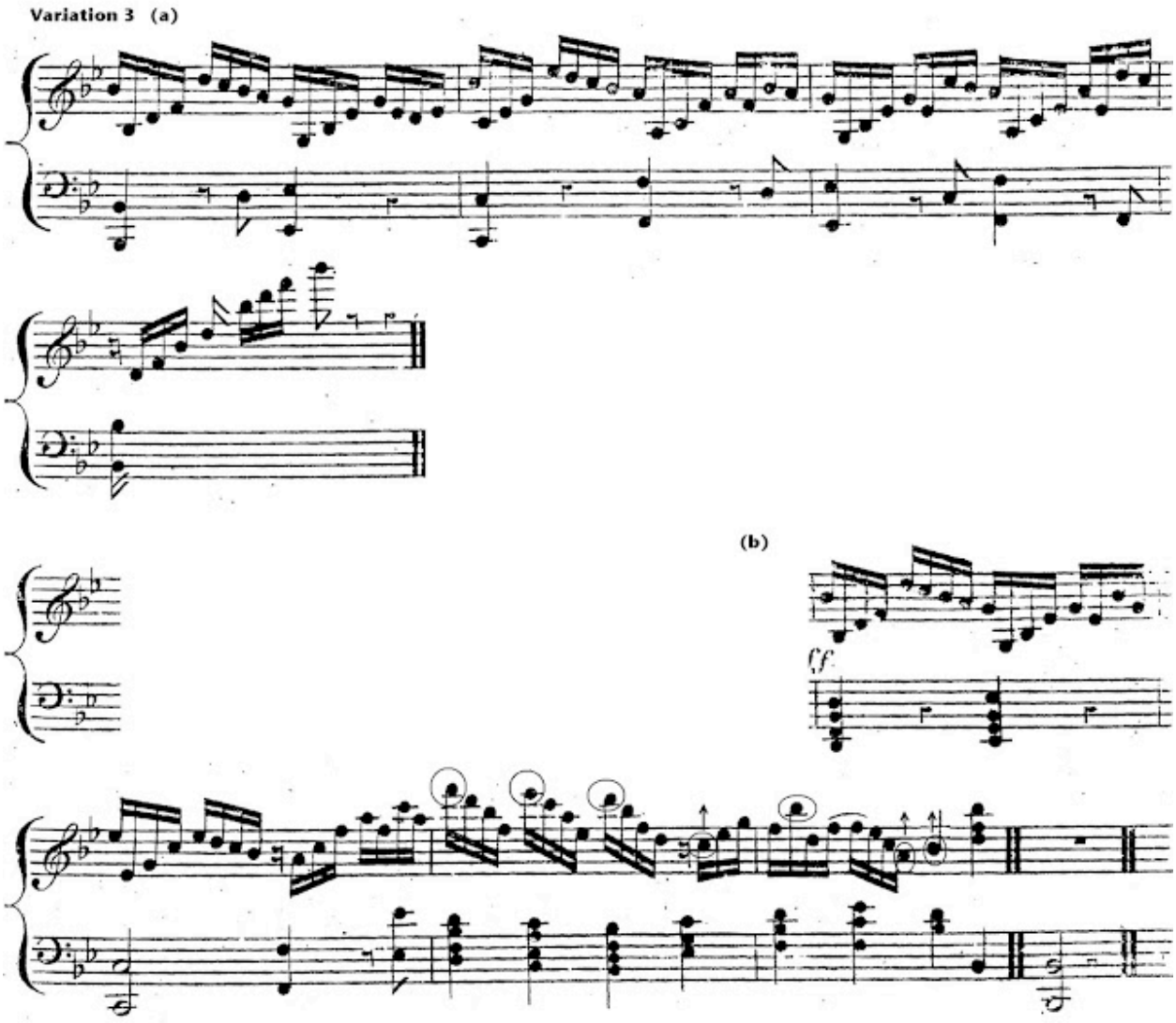
In the first variation, Dussek applies ornamenting upper thirds to the G and A—(a) bar 3. In the final iteration of the theme phrase, these reach as far as D5—see the end of (b)—and generate the phantasm of a line from ^3.



Variation 2 reverts to, and strongly foregrounds, the rising line of the theme, in the first statement (a) and in the last (b):

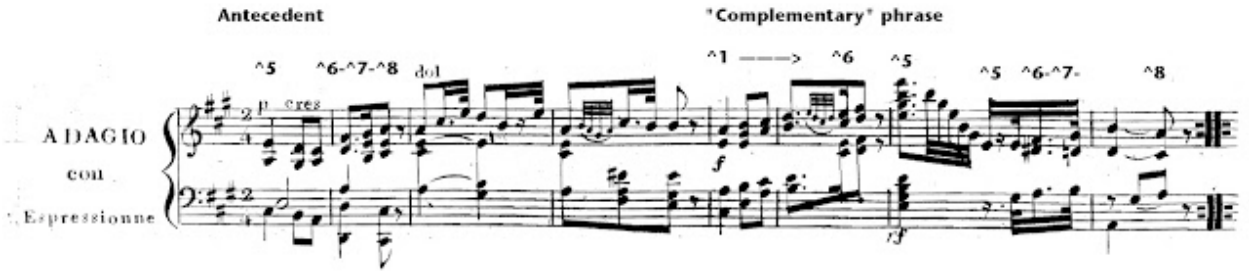


The final variation adopts 16th note figuration. In the first statement (a) the line from G5 through A5 to Bb5 is clear from the accented position of the notes, the upper ornaments having even less effect than they did in variation 1. The final statement (b), however, breaks out of the tune altogether for the sake of a forceful and virtuosic ending. With circle notes, I have marked a conventional descent from ^5 over the bass.

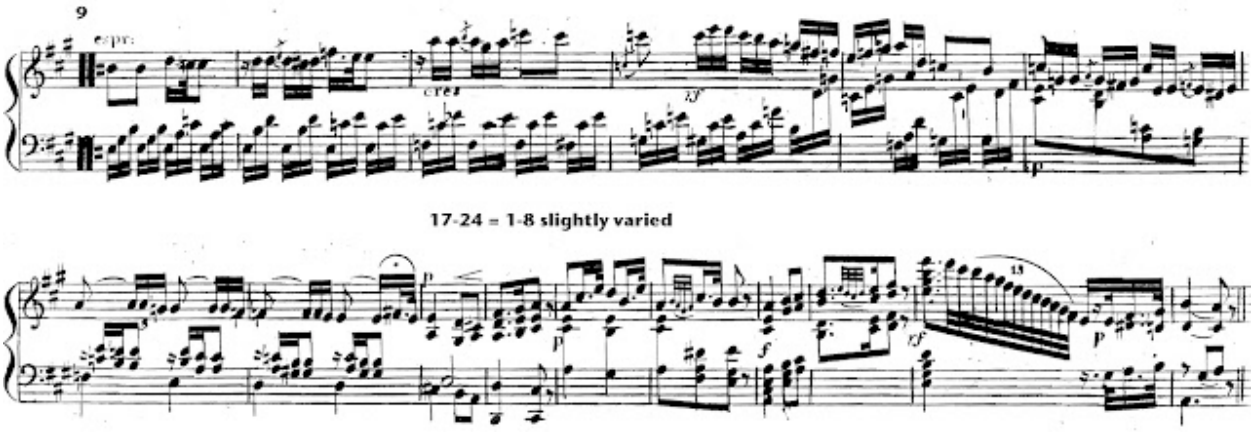


Jan Dussek, Sonata, Op31n2, II

Jan Dussek's Three Sonatas, Op. 31 (1812) are an odd lot of a piano solo sonata sandwiched between two piano trios. The slow movement of the solo sonata opens with a rising figure that traces a line from ^5 to ^8, a figure repeated directly to close (see mm. 7-8).

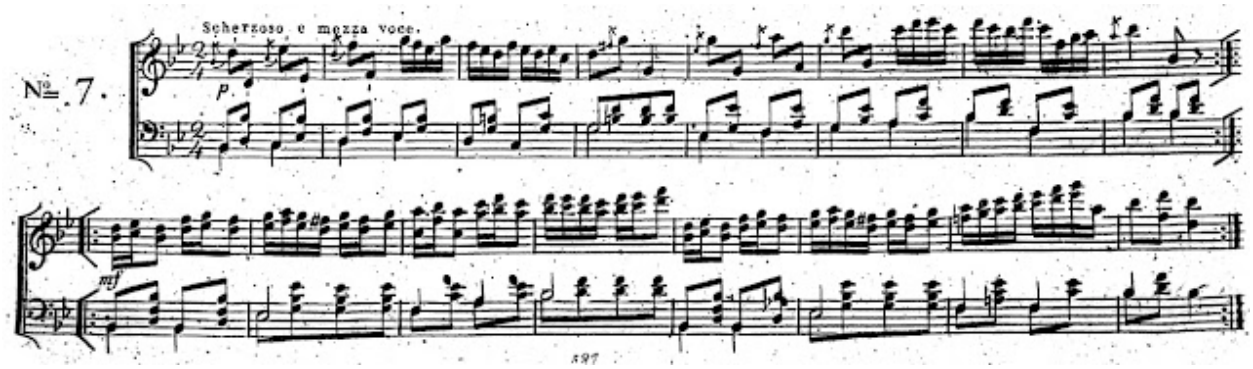


After a contrasting middle that turns to the minor mode, a complete reprise of the opening introduces a bit of intensifying variation in the closing phrase.

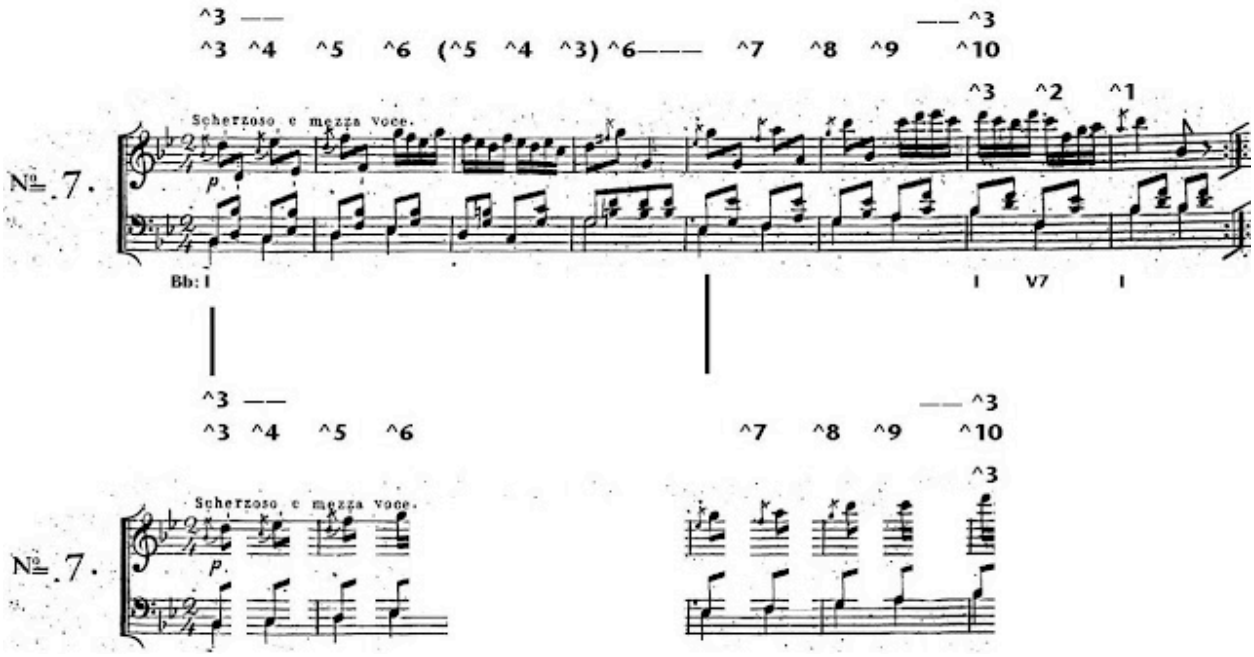


Hummel

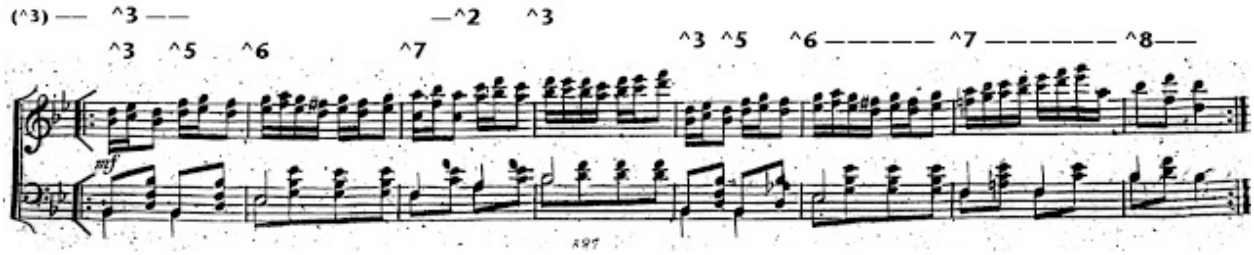
Hummel, Hungarian Dances, op23n7. Hummel published a set of seven Hungarian Dances as his opus 23. The last of them is shown below.



In the first strain, transposition of the basic idea up a fourth to begin the consequent phrase generates overall a scalewise ascent through the octave D5-D6 before a sudden, very direct descent in the cadence. In the "cut-out" below the score, see the underlying pattern of parallel 10ths that propel the figure.

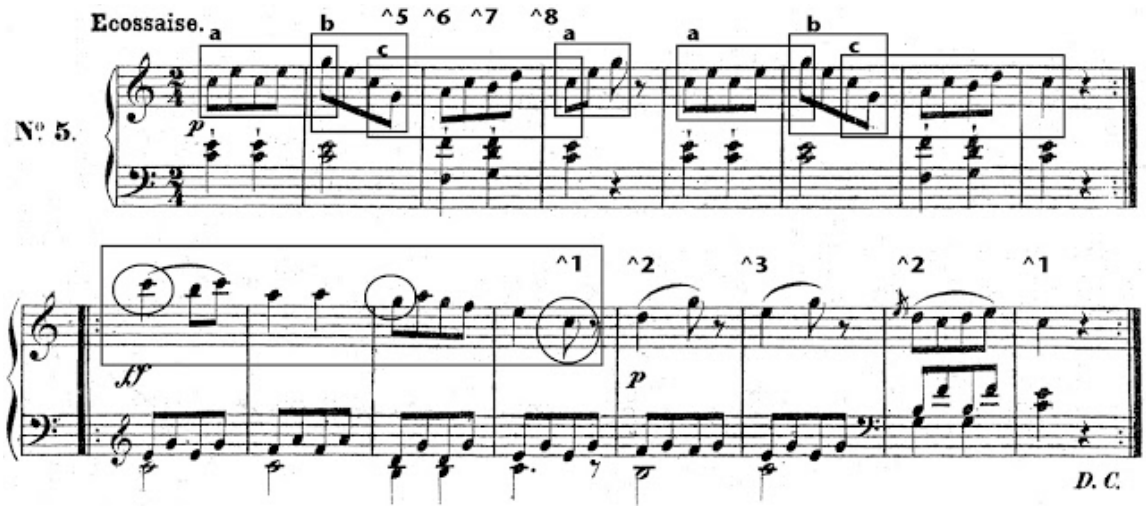


The second strain uses a different motive and by no means so clear a melodic frame but it does succeed in ending with a steadily rising cadence gesture that covers the second phrase.

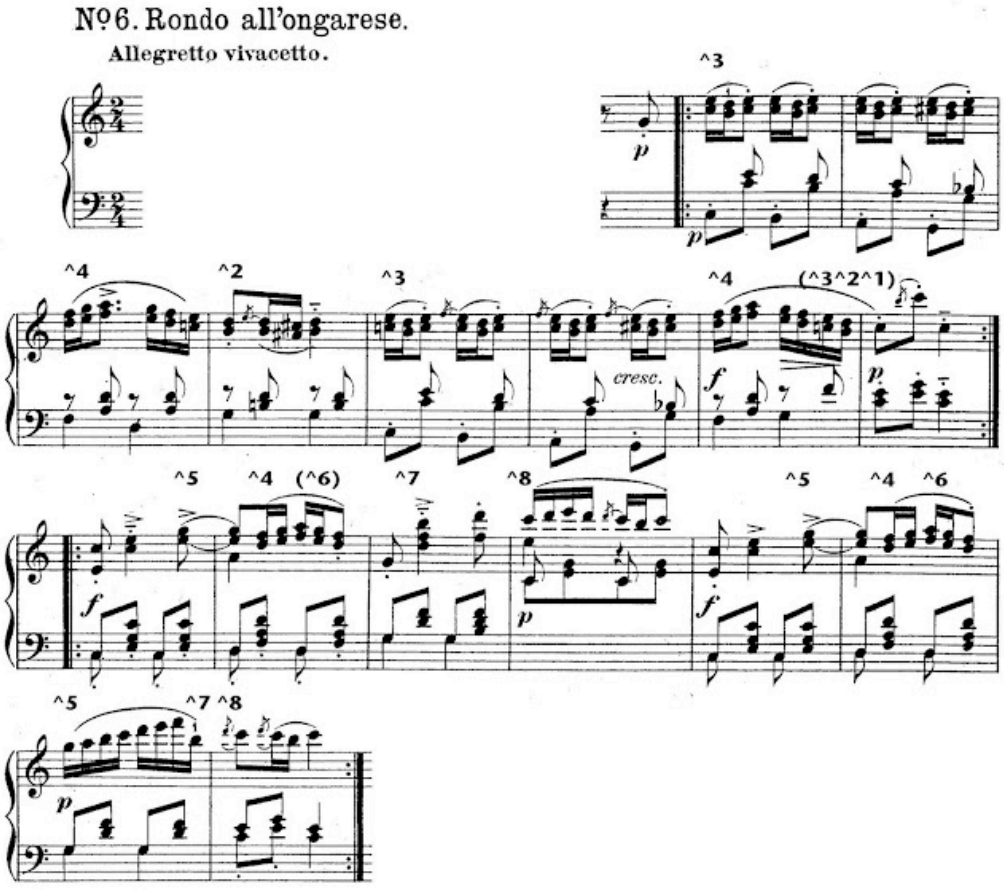


Hummel published 6 Pièces très faciles, Op.52, in 1815. The set is structured in such a way that one could assemble a three or four movement sonatina out of its members, complete with a short opening cadenza (n1), a sonata-form Allegro (n2), a Romance (*con dolcezza*) (n4, the only piece in the set not in C major), and a Rondo (n7). The Menuet (n3) might substitute for the Romance, or be added to make a four-movement piece, but the ecossaise (n5) is a mystery -- tucked in between the Romance and the Rondo, it is only 24 bars long, hardly weighty enough to count as a movement, but perhaps in the context of informal performance, such departures from form were common enough in Hummel's generation -- or perhaps the young woman playing it would be expected to improvise some variations to augment it.

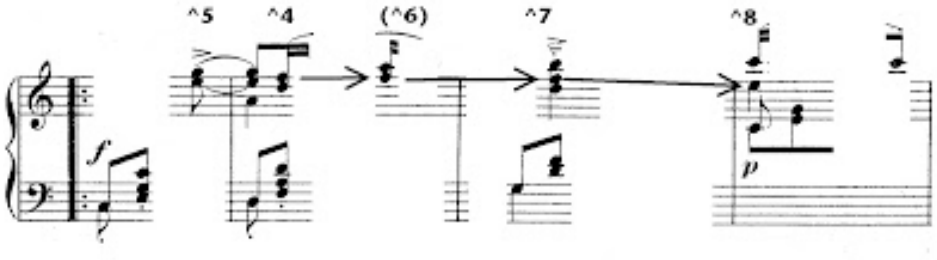
An opening upward-reaching arpeggio (at "a") is mirrored at "b"; the cadence is clear in its linear contrast ("c") but is undercut by repetition of "a." In the consequent, that repetition is deleted and the cadence is simple and direct. As often happens in dance music, the second strain contrasts sharply with the first: a strong descent from the start -- boxed -- comes down through the octave C6 to C5, and in the continuation phrase there are lines but they go stolidly up from C5 to E5, then down again.



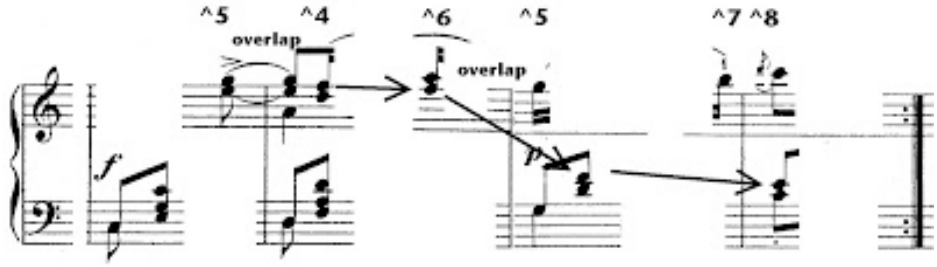
Hummel, Bagatelles, op107n6. Hummel's op107 consists of six bagatelles, the last of them a spirited Hungarian rondo. Its theme sits clearly on ^3 in the first strain, which descends abruptly to ^1 in the cadence. The second strain starts by doing the same with ^5 but each of its two phrases takes ^5 upward to ^8 instead. I've isolated these motions in the second strain in the figures below the score.



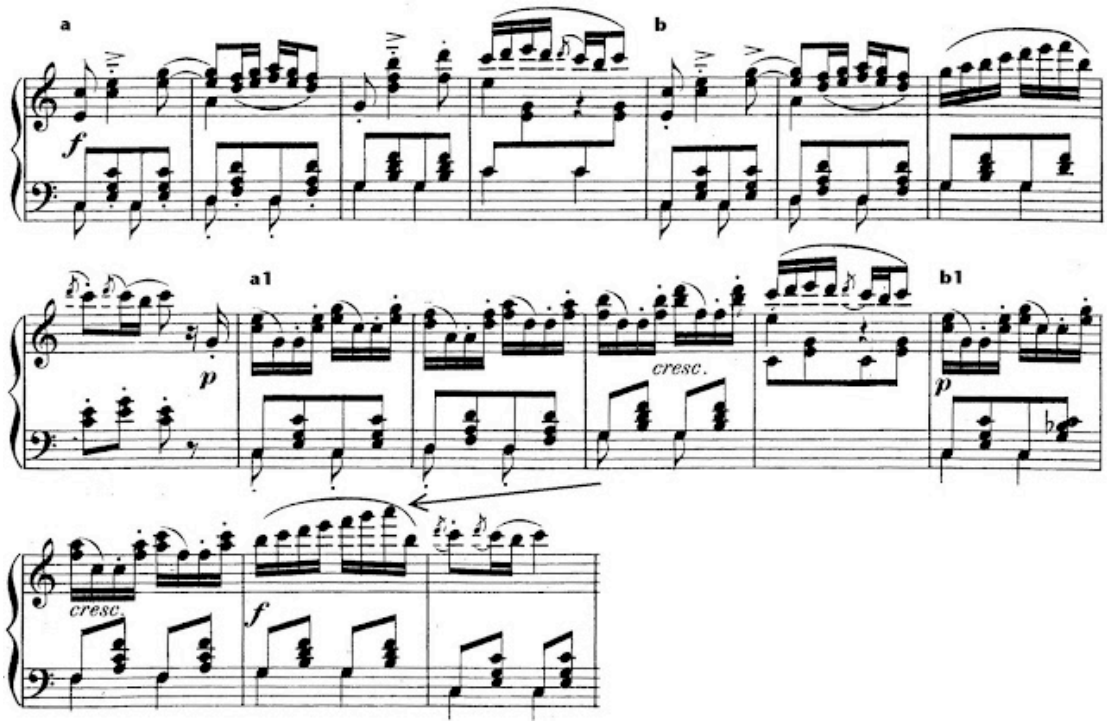
(second strain, first phrase)



(second strain, second phrase)



The second strain in the theme's final statement, which includes the rondo's structural cadence, is shown below. The strain is repeated in its original form at a & b, then embellished at a1 & b1. Note the considerably more emphatic rising line in b1: ^5 in the first bar, ^6-^8 in the second, ^7 in the third), and ^8 in the last, after a direct motion from ^7. The arrow points to a ^6-dropping-to-^7 figure, which could just as easily have been a continuation up, that is A6-B6-C7, rather than A6-B5-C6.

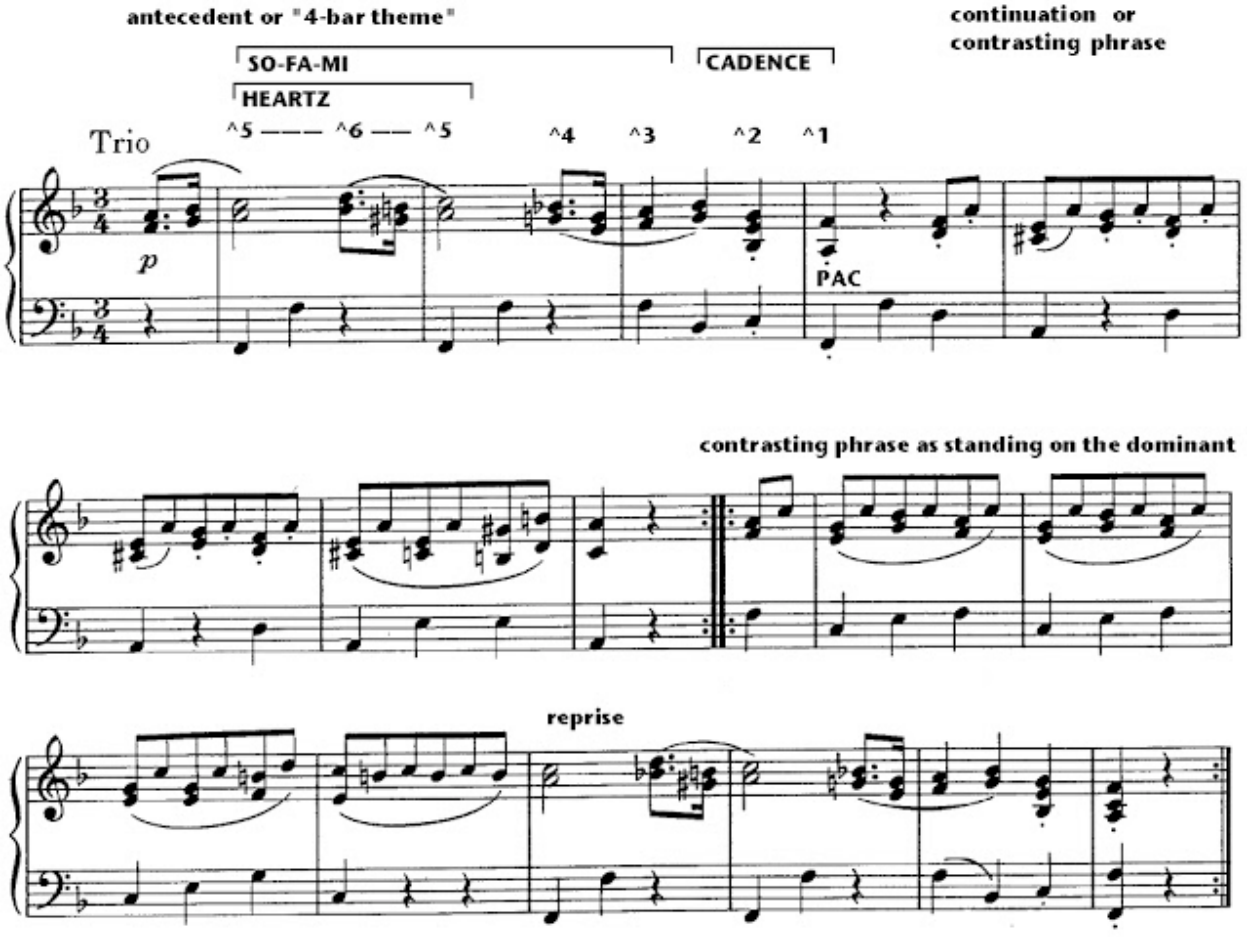


The Heartz and the rising line

John A. Rice has proposed an addition to the repertory of Galant schemata. He calls it the "Heartz," after his mentor Daniel Heartz, a renowned Mozart scholar who first commented on the figure.

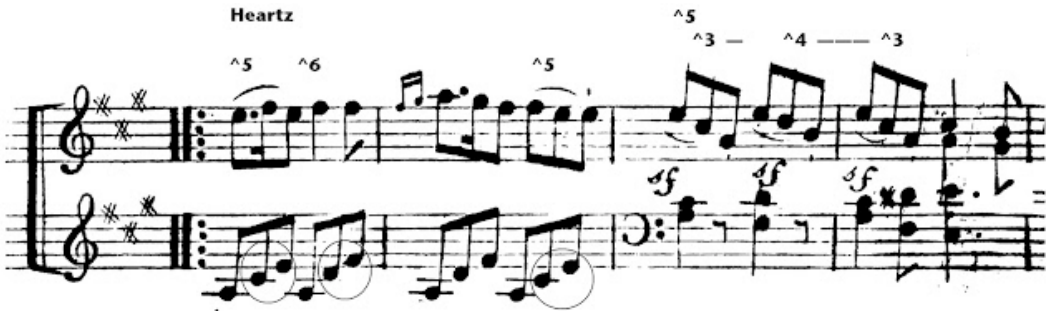
The Heartz is associated with a pastoral topic and with emotion. As Rice puts it, "It is no accident that all three of the opera arias cited by Heartz contain the word *core* (also spelled *cor*). Eighteenth-century opera composers associated the sonic sweetness of the subdominant chord over a tonic pedal with the tender emotions of the human heart." (315)

The article has many examples, to which I will add three more. The trio of the last number in Beethoven's 12 menuets, WoO7, provides a simple instance of the Heartz figure. Note the ^5-^6-^5 with lower thirds and the descent ^5-^4-^3 (So-Fa-Mi) that follows. In this case, a cadence takes the line all the way down to ^1 for an unusual PAC to end the first phrase.

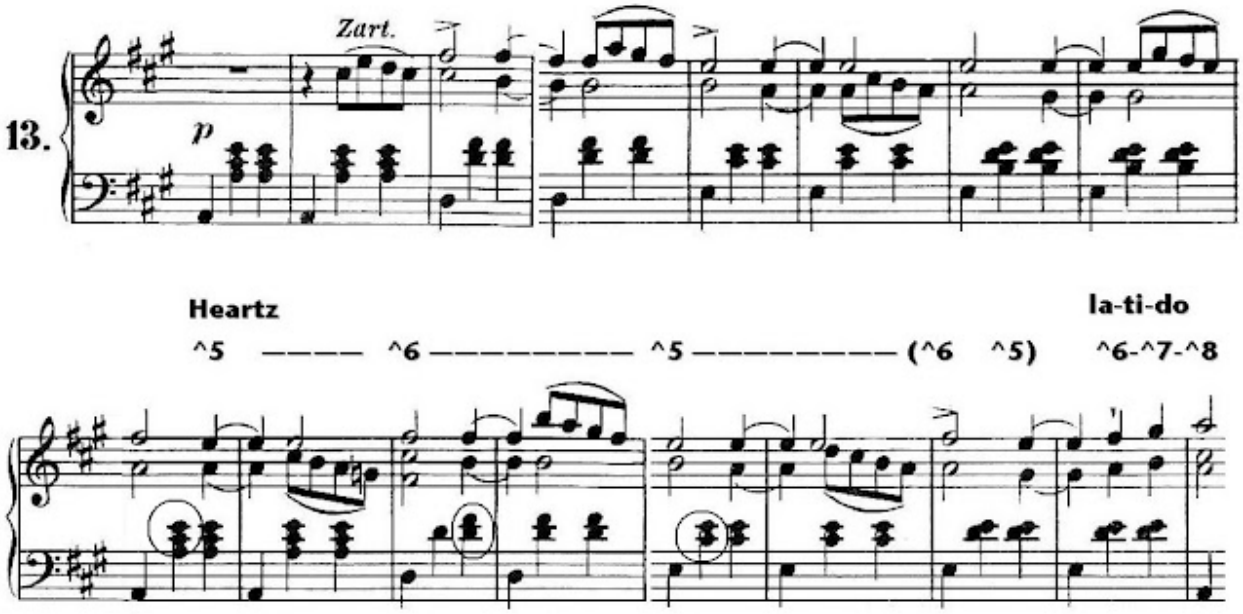


The contrasting middle in Mozart's theme for the first movement variations in K. 331 also uses the Heartz, but without the so-fa-mi. Although the many linear analyses of this piece show a

descending line from ^5 down to ^2 in the half cadence, the voiceleading is tiered and Mozart repeats the Heartz figure a third lower (see ^3-^4-^3 below ^5). He maintains this design very clearly throughout all the variations except the last. (The example is from a facsimile of the first edition, downloaded from IMSLP.)



The strength of stereotyped patterns in the cadence apparently prevented musicians from reversing the direction of the so-fa-mi to la-ti-do. Schubert, however, does manage it nicely in D779n13, even adding some intensifying suspensions in an inner voice. He does change the underlying harmonies so that the entire pattern Heartz + la-ti-do runs above a cadence.

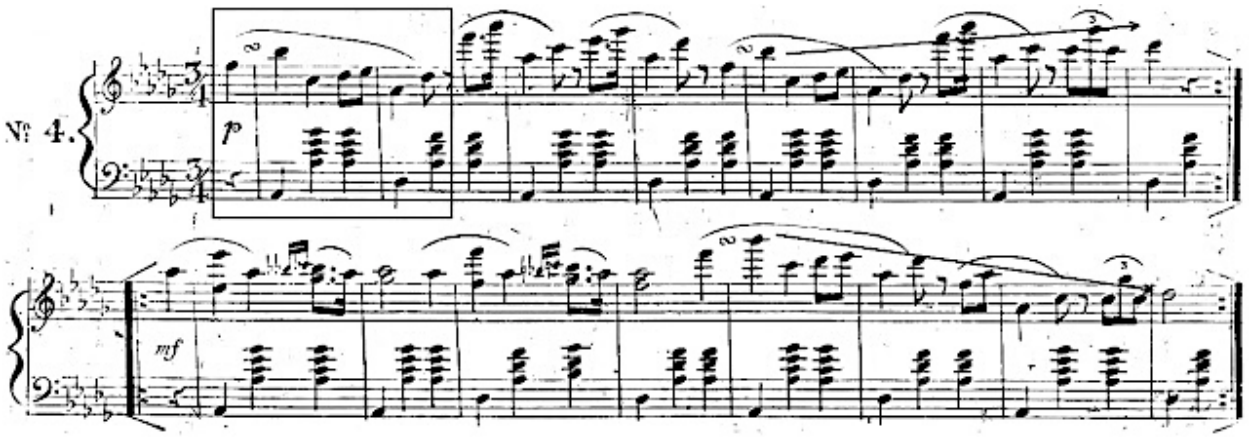


Schubert

I have written about rising cadence gestures in music by Schubert many times, most extensively in the 200+ entries in my blog *Hearing Schubert D779n13*: link to the blog; link to a Guide to the blog. I have also written and posted to Texas Scholar Works a PDF essay *Scale degree ^6 in the 19th Century: Ländler and Waltzes from Schubert to Herbert*: link. Here I will

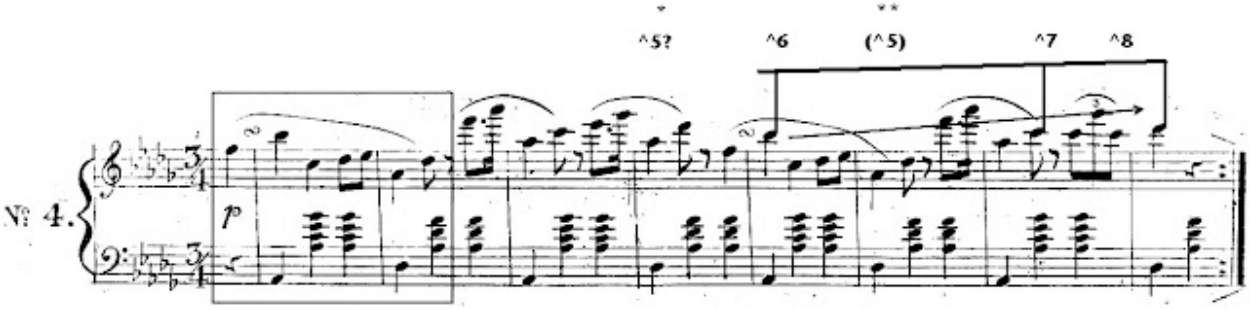
reproduce a few examples from that essay.

The largest sampling of Schubert's earliest dances—from the period 1816 to 1821—appears in the two published collections, D 145 and D 365. It is worth remembering that Schubert was a skilled violinist, and his waltzes clearly show the strongly violinistic figures associated with the Ländler style. In D 145, ns 4-12 are all in Db major. The unusual key of Db major is easily explained as a "darkening" or expressive shading of the archetypical Ländler key of D major. The large number of pieces in Ab major in D 365 and D 779 are accounted for in the same way: Ab as a shading of A major. (A few pieces from D779 were originally written for violin in A major.) D 145n4 may have been transposed down a half step from its "proper" violin key of D major, but there is no mistaking the source as the opening idea (bars 1-2) skates across the fingerboard from right to left.



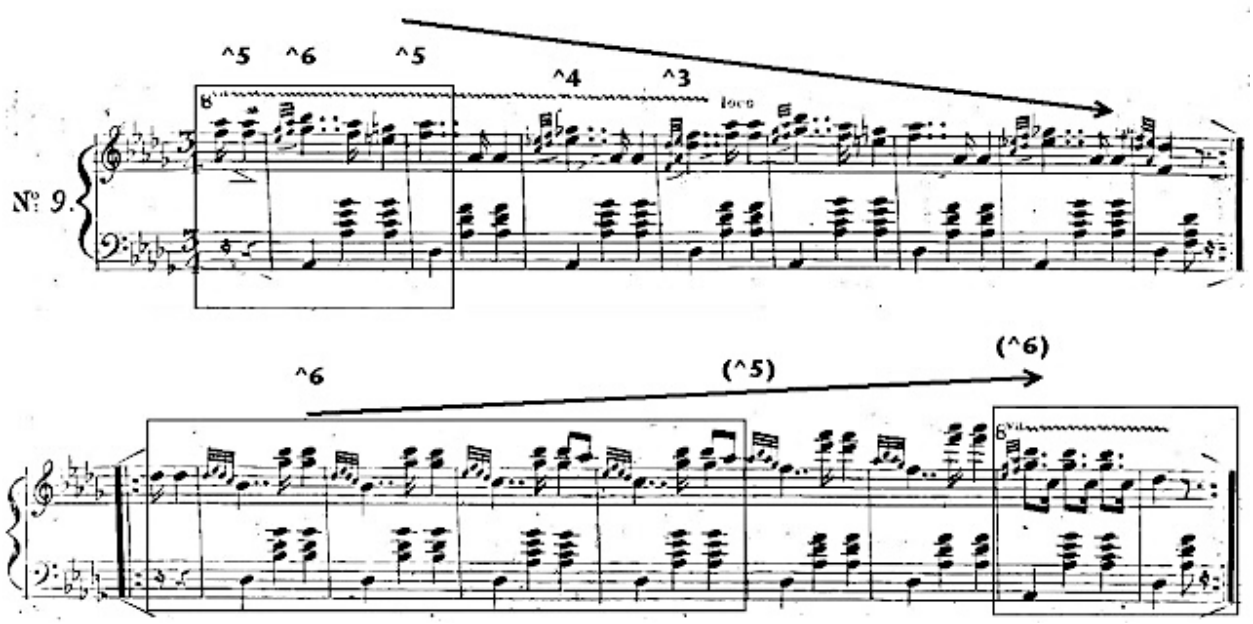
Note that the very first figure is an expressive leap to an accented ^6, as 9 in V9. The string of similar accented and unaccented leaps that follow encourage a rising gesture in the cadence to the first strain. After such vigorous figures, Schubert often creates a mirroring pattern in the cadence of the second strain, as he does here: a precipitous descent brings the melody down from the accented ^6 (as Bb6) to close on Db5.

It is easy to hear a connection between the first accented note, Bb5, its recurrence in bar 5 and a line completed in the cadence. To treat this formally in the Schenkerian manner, however, ^5s must be implied. I find this presence of ^6 with an absent ^5 to be particularly charming.

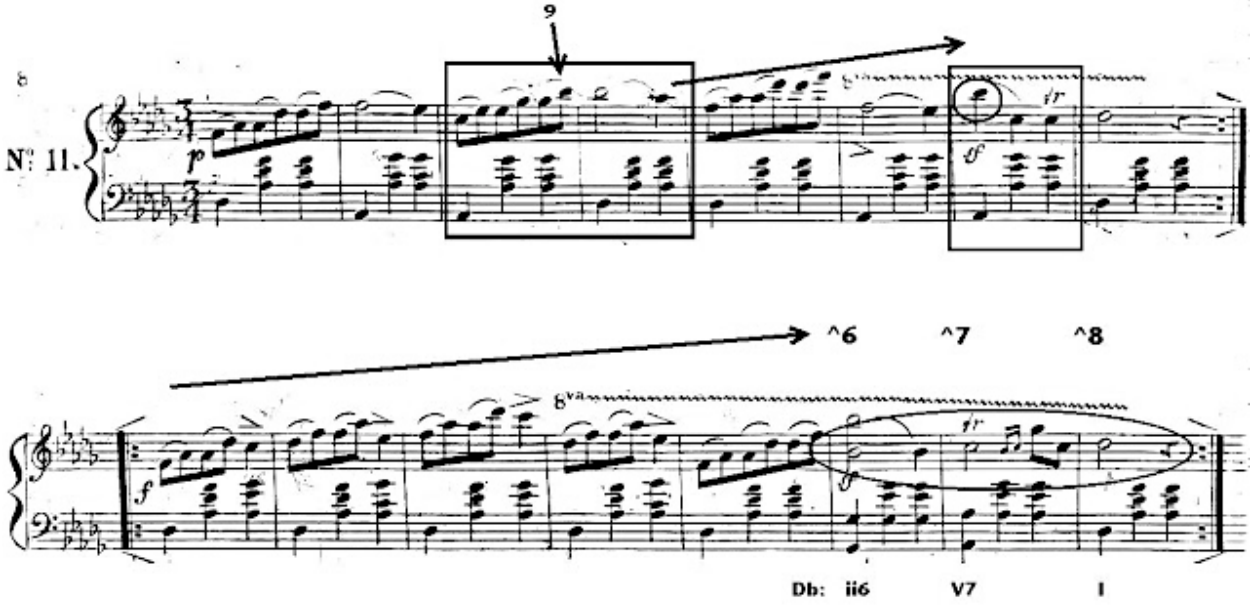


The ninth dance in D 145 is also in Db major. This time Bb6—the highest Bb on the pianoforte—

opens the piece, and then is touched again in the cadence of the second strain. The effect is to draw our attention to the wedge shape, here with the motions dropping first, then rising, the reverse of n4.

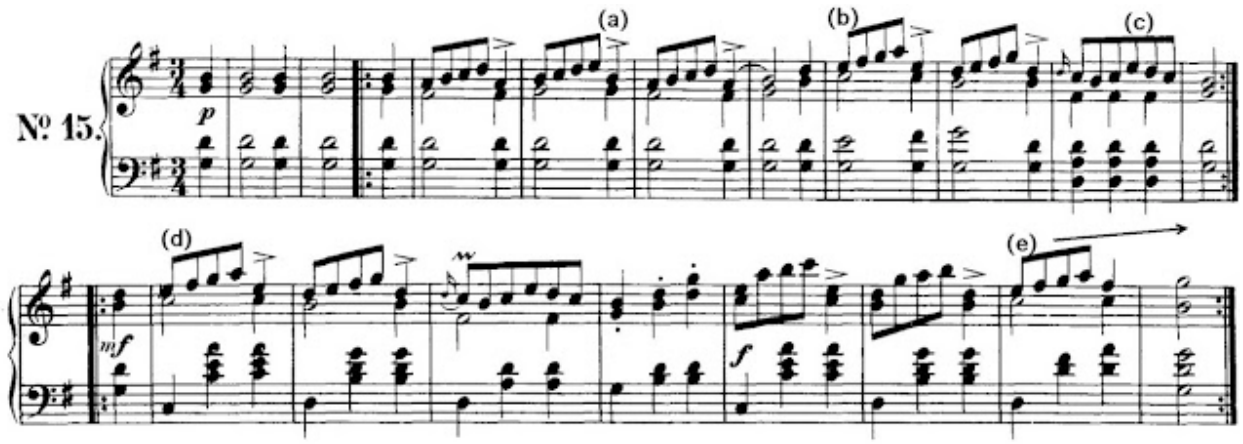


In D145n11—still another waltz in Db major, a true V9 in bar 3 hints at the much more dramatic figure of the consequent phrase, where Bb6 is reached. As in the first strain of D 145n9, the implications of these rising figures are realized as a line in the cadence of the second strain, where ^6-^7-^8 is harmonized with the functional SDT progression.

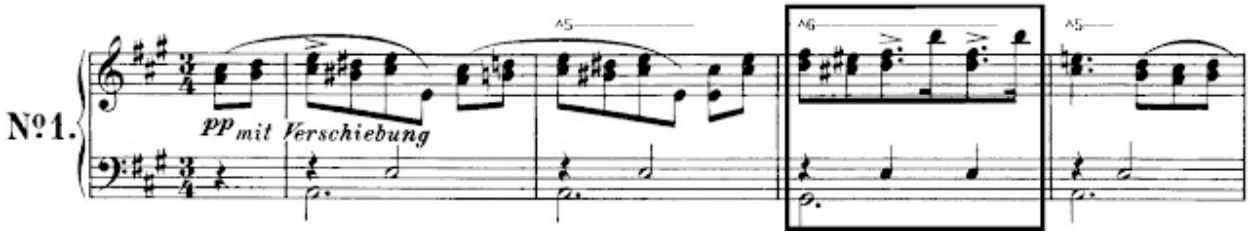


The final number of D 734, the *Wiener-Damen Ländler* (not Schubert's title—in fact, he specifically objected to it), opens as a ländler but closes more firmly; the second strain very

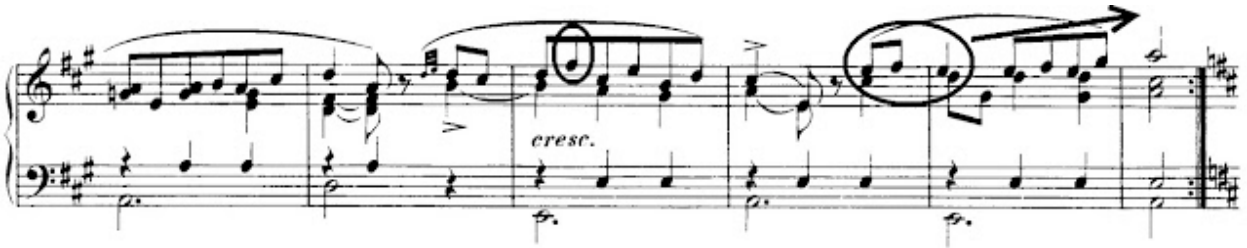
probably would have been used as a promenade to end a session of dancing. At (a), ^6 is an 8th-note escape tone; at (b) ^6 is an accented neighbor note; at (c) an unaccented incomplete neighbor; at (d), the neighbor note opens the second strain, picking up on a motive from the first strain in the same way we saw above in D 779n18; and at (e) the waltz ninth carries ^6 upward to a close on G5.



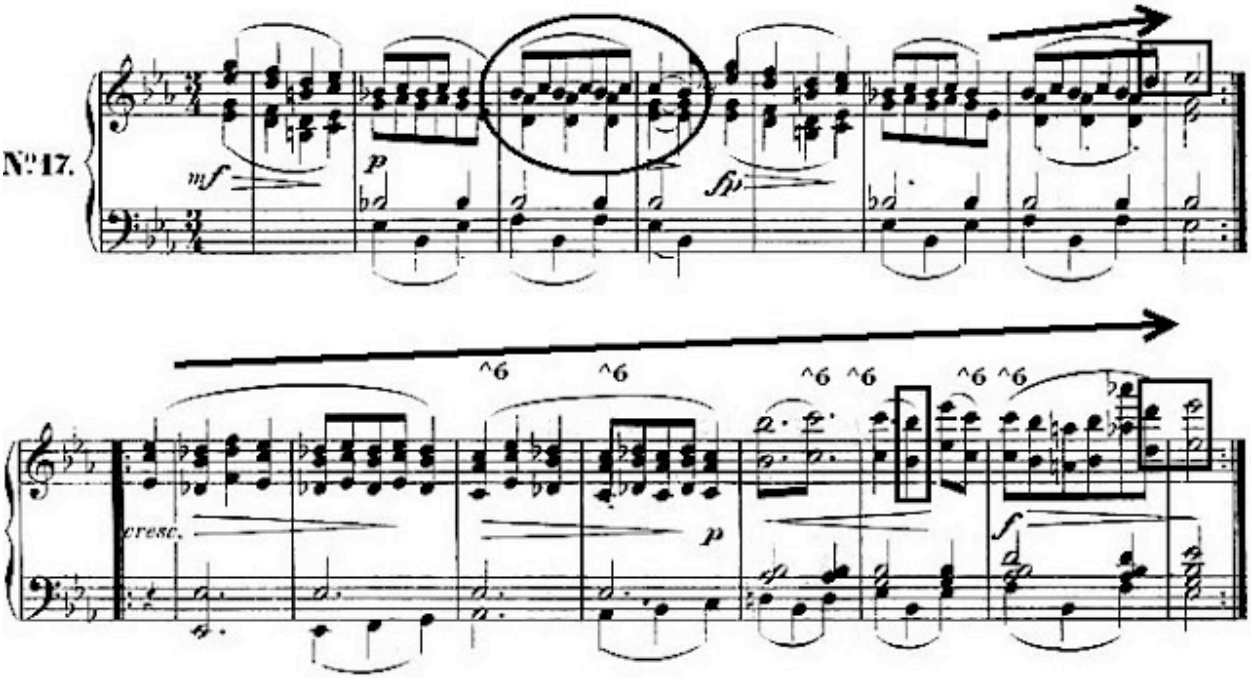
Much the same happens in D 769n1. The first phrase hangs on a neighbor note figure where ^6 is prominent as part of a rare inverted V9 chord (box).



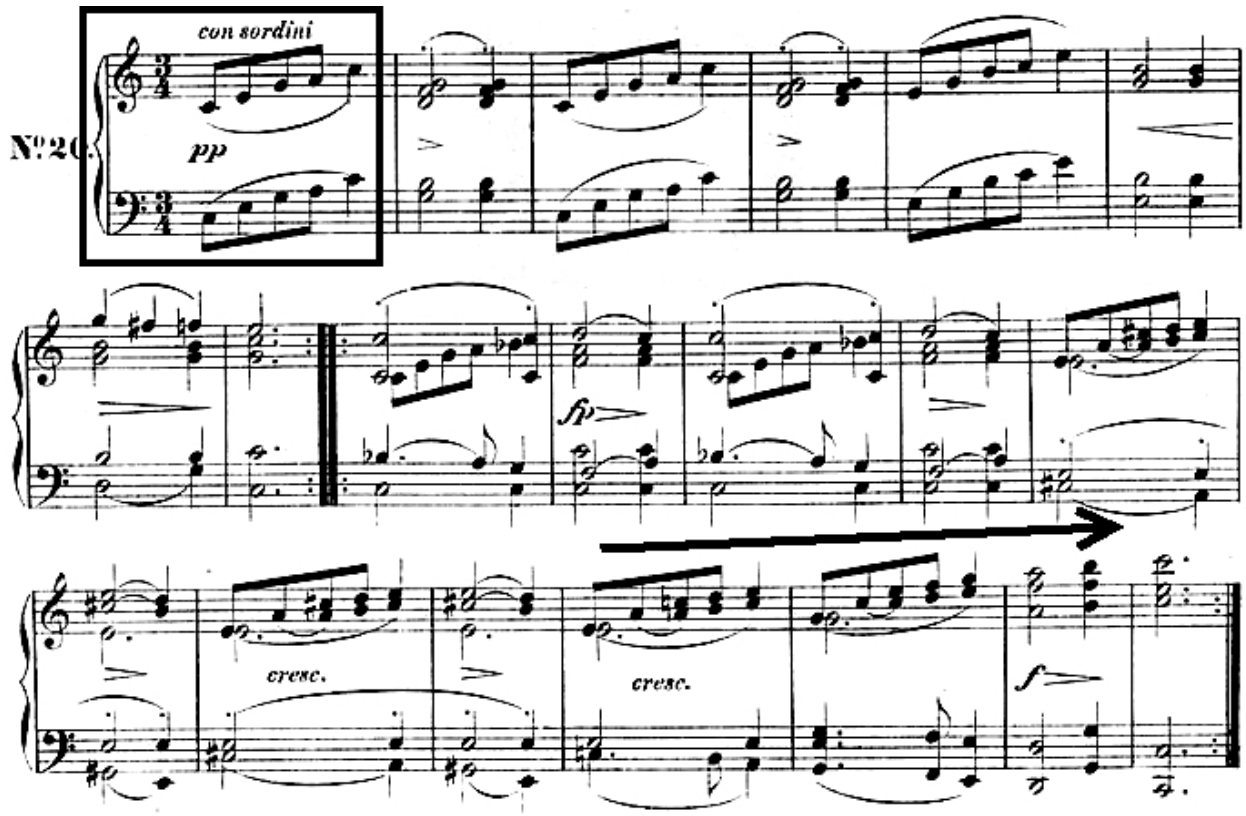
In the second strain, ^6 is touched on briefly (circled), and the cadence then completes an ascent to ^8 (A5). Note that the first strain was quiet (*mit Verschiebung* means use the soft pedal) but the rise to the cadence is accompanied by a crescendo (and in performance possibly would have included an acceleration to the end).



D 814 is a set of four Ländler for piano four-hands. A solo version of n1 also exists (Brahms transcribed the others). A small-scale ascent growing out of a ^5-^6 neighbor figure in the first strain is magnified considerably in the second strain.



Finally, D 814n4, in Brahms's 2-hand transcription of the 4-hand original, reuses the overall pattern of dynamics (from soft to loud), is based on a sharply rising motive (box), and closes with a very direct linear ascent to ^8 (arrow).



Postscript: Schumann, *Papillons*, op. 2 (1829; publ. 1831)[5]

In 1827, at the age of 17, Robert Schumann began "revelling" (so he said) in the music of Franz Schubert. He heard the songs for the first time, was introduced by a fellow student Agnes Carus to the four-hand works for piano and—again according to him—fell in love both with "Schubert's Waltzes and her". His diary on 2nd March 1829 mentions a "fruitful improvisation on the Waltz of Longing" [D 365n2]; eight months later he requested the music for the complete Schubert Waltzes from Friedrich Wieck and according to a reminiscence by Friedrich Täglichsbeck played them "beautifully and whenever he had the chance". In 1835, Schumann wrote a review of Opus 9 and 33 (D. 365 and D. 783), in which he imagines a meeting of the *Davidsbund*, a domestic musical evening that resembles an informal, small-scale Schubertiade.

Obviously an early product of that enthusiasm, *Papillons* is filled with pieces that come readily into view as Schubert-style dances exaggerated in tempo, dynamics, and design to create more sharply drawn "portraits" (as Schumann did more effectively a few years later in *Carnaval*).

The compositional origins of *Papillons* are not difficult to understand, but the program is a considerably more complicated matter. As Eric Frederick Jensen summarizes it:

> Jean Paul's novel *Flegeljahre* [apparently] provided the direct inspiration only for the last piece in *Papillons* (more accurately, ns 11 and 12, which are related). How, then, can [a series of] annotations in Schumann's copy of *Flegeljahre*, which [mention ns. 1-10 but] make no reference to the last Papillon, be explained? Although he [claimed in a letter that] "one Papillon after another was created," the creation of *Papillons* could not have been spontaneous. Quite likely inspired by his reading of the final scenes in *Flegeljahre*, Schumann composed what would become the conclusion (the eleventh and twelfth pieces). He then thought of expanding what he had composed, and of creating a larger work, using the ball in *Flegeljahre* as its basis. Some of the pieces were then newly composed for the occasion, but Schumann had been composing dance music for years, and little of it had been published. What better place to use it than in a musical depiction of a masked ball? At some point, [he took] his copy of *Flegeljahre* and [marked] passages . . . suitable both for his intentions and for the music, some of which had already been created. (140)

Several of the numbers in *Papillons* are obviously waltzes (1, 4, 9, 10) and several others have the rough clarity of some of the gruffer German dances in Schubert's D. 783 (nos. 3, 8, and 12). The key sequence is D--Eb--f#--A to F#--Bb--d--f to Ab--c# to Db--bb--C--D--D. If that sequence seems rough and abrupt, that's the method in *Papillons* -- Schumann luxuriates in the haphazard key relations that one often finds in dance collections in the 1820s, the irony being that he is creating a set meant to be played as a single composition, relying on published

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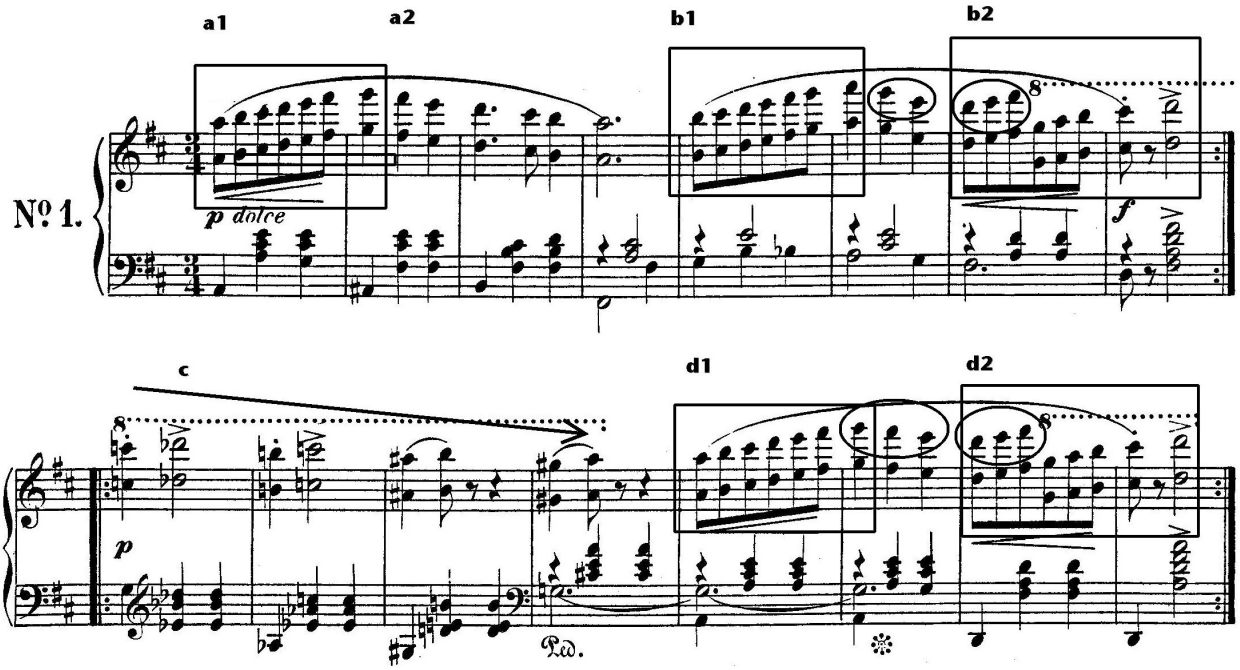
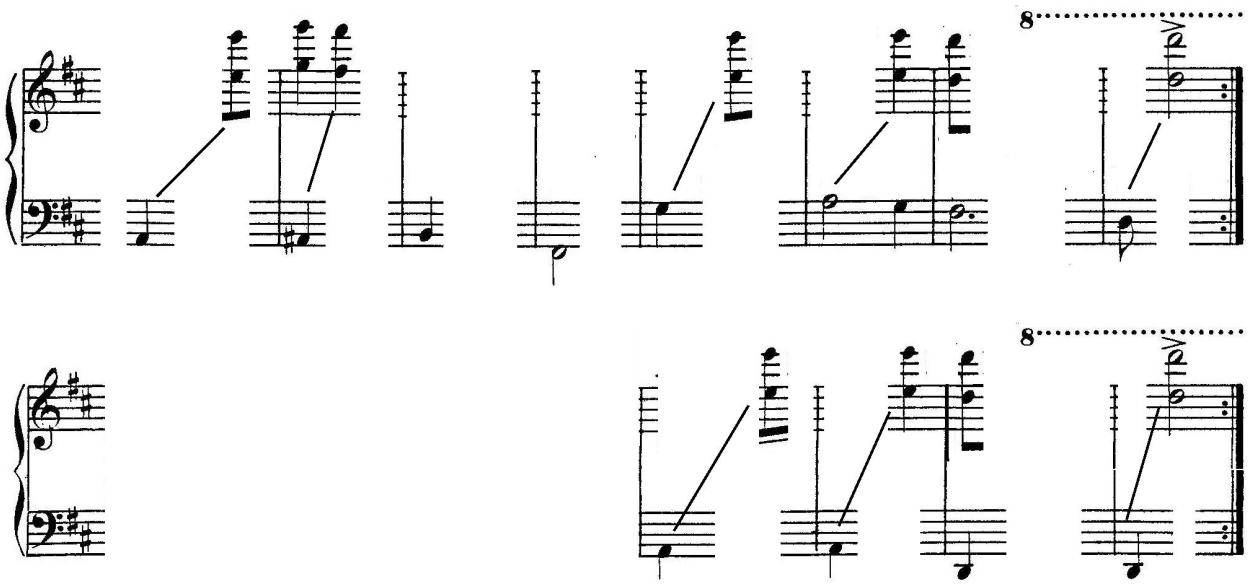
[5] Some of the text in this section is drawn from "D779n13 as a number in Schumann's *Papillons"*: blog post and "Robert Schumann's story/review of D365 and D783 and the substitution of D779n13 for D783n7": blog post. In conjunction with these, see also my analysis of the first movement of Schumann's sonata-like suite, *Faschingsschwank aus Wien*, op. 26 (1839), in my *JMT* article, pp. 284-86.

collections that were *not* meant to be played that way. In any case, there is no question of extracting some perfect overreaching key scheme -- Schumann's whole point is to avoid it. (Jensen argues that the haphazardness mimics the luxuriant but often disconnected imagery in Jean Paul's novels.)

Despite his abilities as an improviser and his adventurousness with respect to musical genres, Schumann did not pick up on the rising cadence figures that are easily found among Schubert's waltzes. *Papillons*, in fact, is very nearly the only work in which I have found such figures to date, and they are hardly unequivocal instances. In n1, the primary motive is a sweeping octave-doubled scale: "a1" repeated as "b1" "b2" "d1" and "d2." The first is answered in "a2" by a scalar descent of equal size but the energy in "b1" and "d1" is carried upward in "b2" and "d2" and emphatically affirmed in the final measure of each strain.

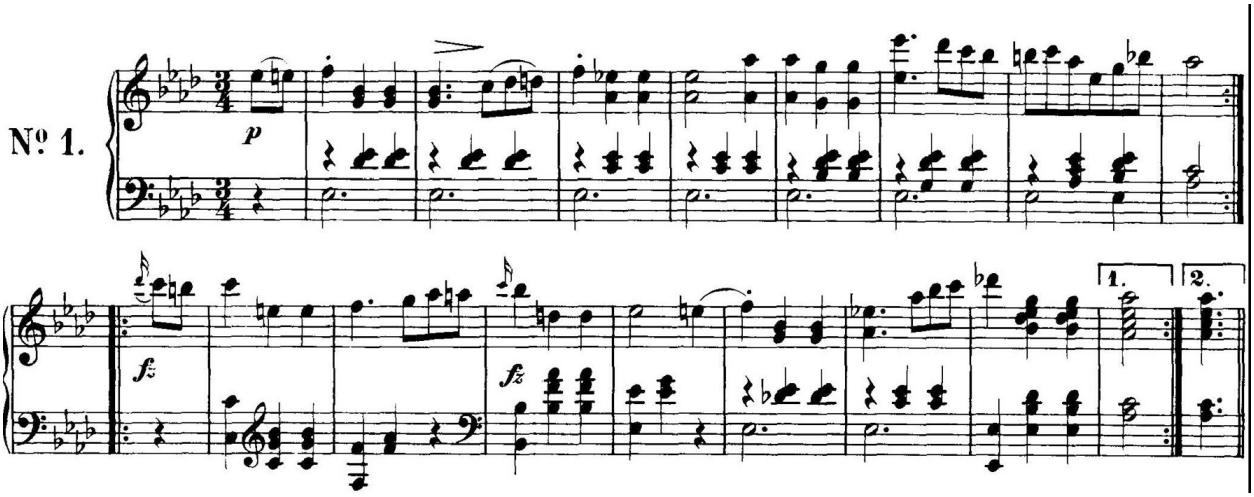


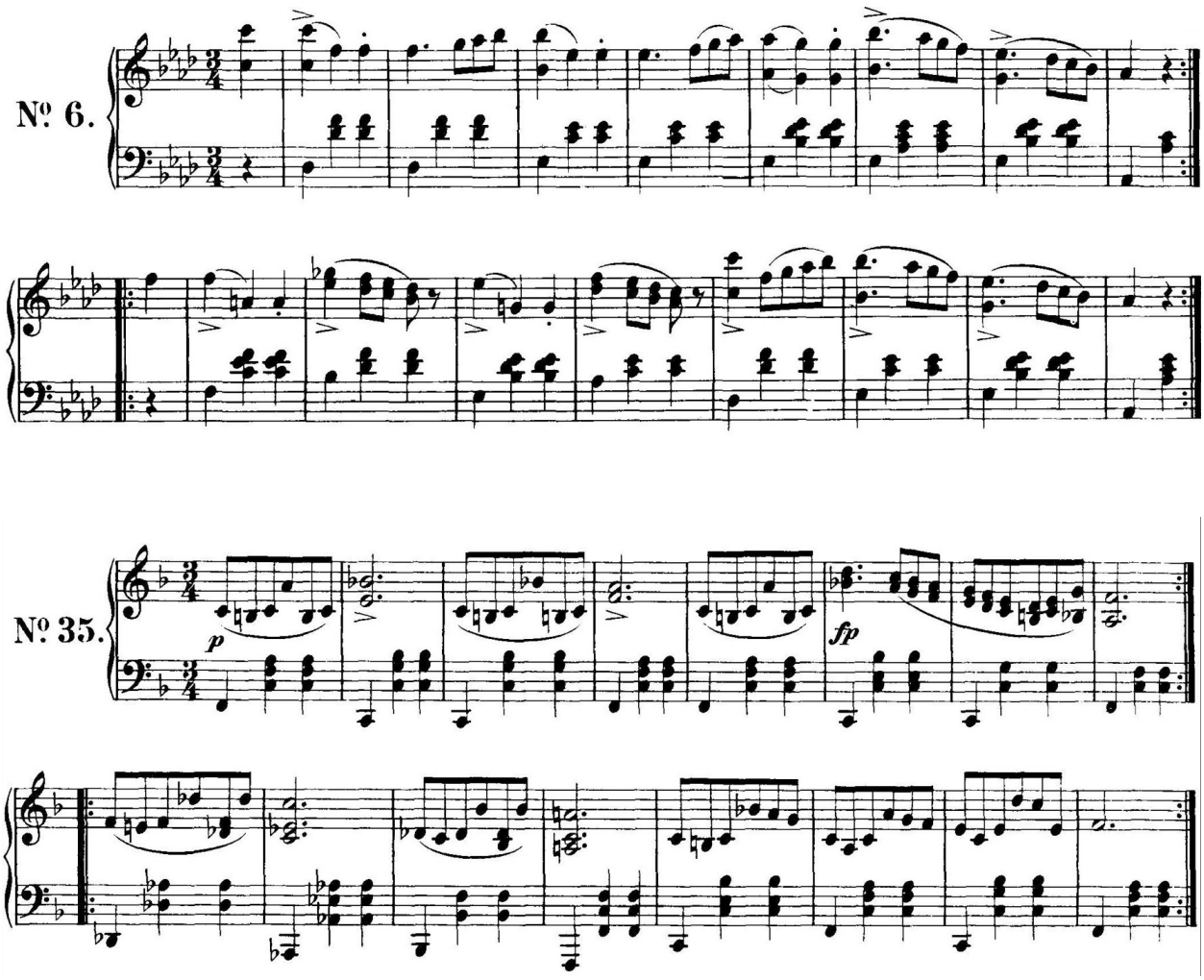
All this is certainly convincing, but ties to voice leading are tenuous; a reasonable underlying pattern with a single upper voice would suggest a *descent* from ^2 to ^1 (E to D) in bars 6-7, repeated in bars 14-15, and the ^1 then vigorously embellished with an ascending scale.



The design of n1, on the other hand, is very clear in its sources, as it closely follows one of the most common patterns in Schubert's early dances: a sentence or period in the first strain, a 4-bar contrasting middle with chromaticism (secondary dominant figures) and a diatonic final phrase with repetition or reminiscence of figures from the first strain.

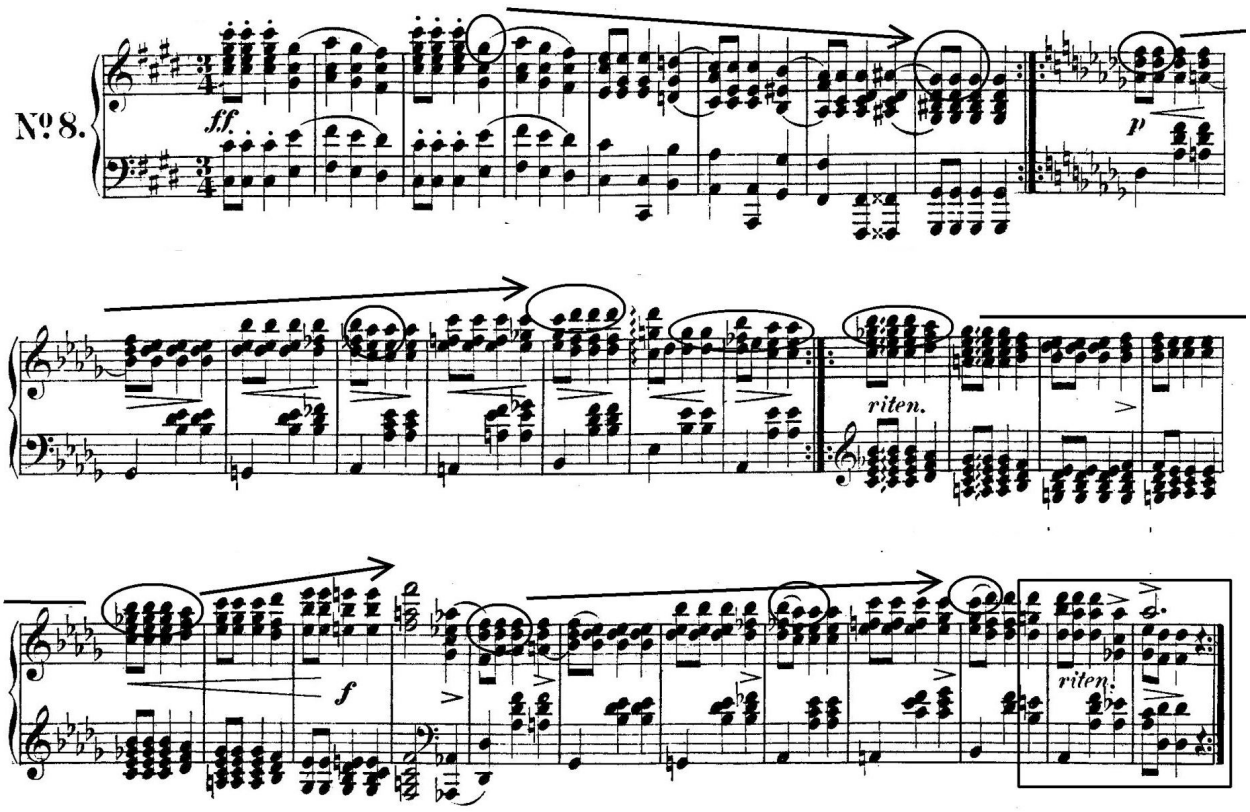
Here are examples from D. 365, a collection that Schumann knew intimately:



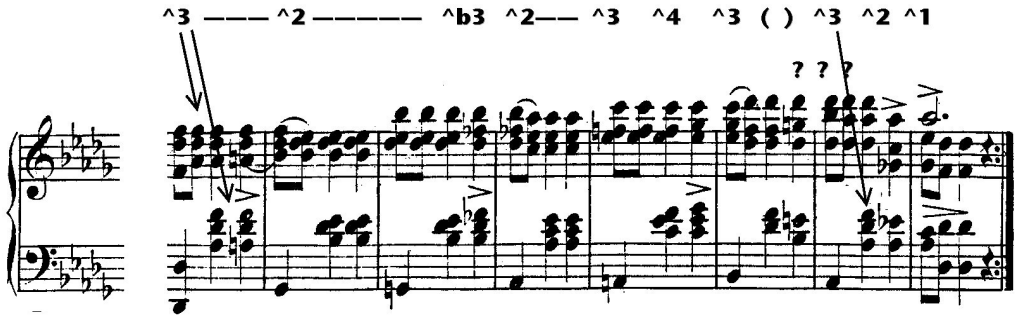


The design of n8 in *Papillons* is not quite so clear, but its Schubertian traits are unmistakable. Minor-key dances are rare in Schubert, and when they do occur they almost always give way quickly to the relative major, less often the parallel major, and frequently conclude in the key key/mode. The sharp opposition of loud and soft passages is also characteristic, Schubert's evocation of a common set of figures in dancing, especially as found in rural or lower- and middle-class urban venues. Once Db major is reached in Schumann's n8, however, the design is a simple small ternary form with complete reprise, also very common in Schubert's waltzes.

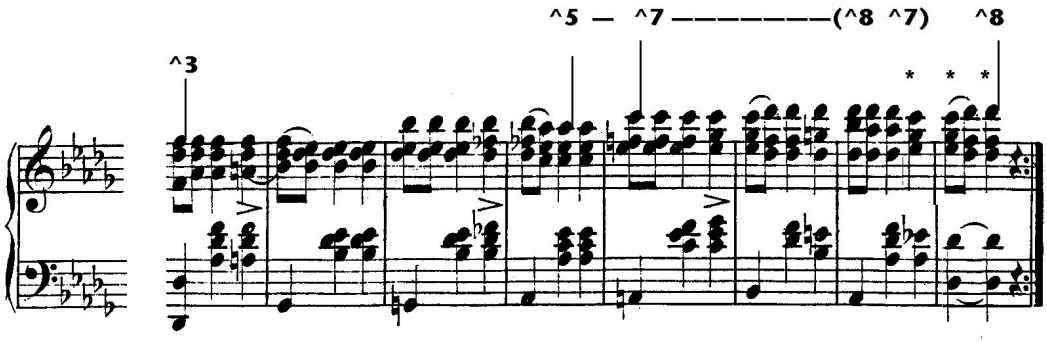
Schumann exaggerates the minor / minor and *fortissimo / piano* oppositions with direction, as the C# minor opening plods downward in a determined way, but then the more expressive first strain of the Db major waltz moves steadily upward: see the arrows in the score below.



The problem is at the end, where Schumann suddenly cuts off the voice leading strands in the drop to the final V7-I (bars 23-24 of the Db major section). In the thumb of the left hand part, one can easily follow ^3 as it winds around a bit then falls by step to close. The right hand has the same strand until the third bar from the end, where F5 moves upward through G-natural5 to Ab5, not down.

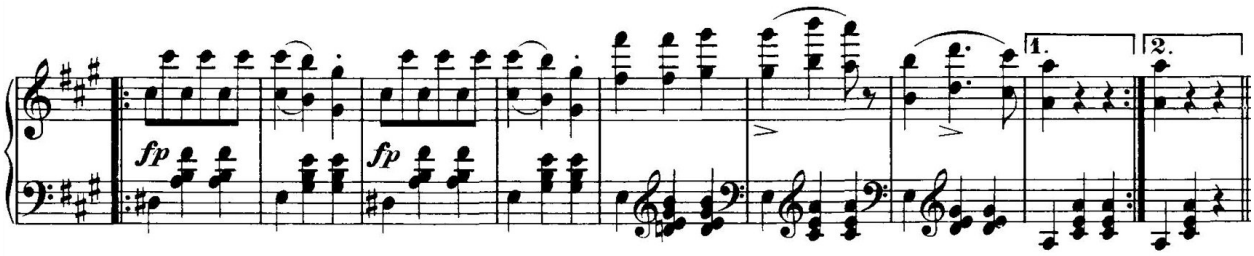


We can see what happens more plainly by reconstructing the "correct" ending (note especially *** in the example below).

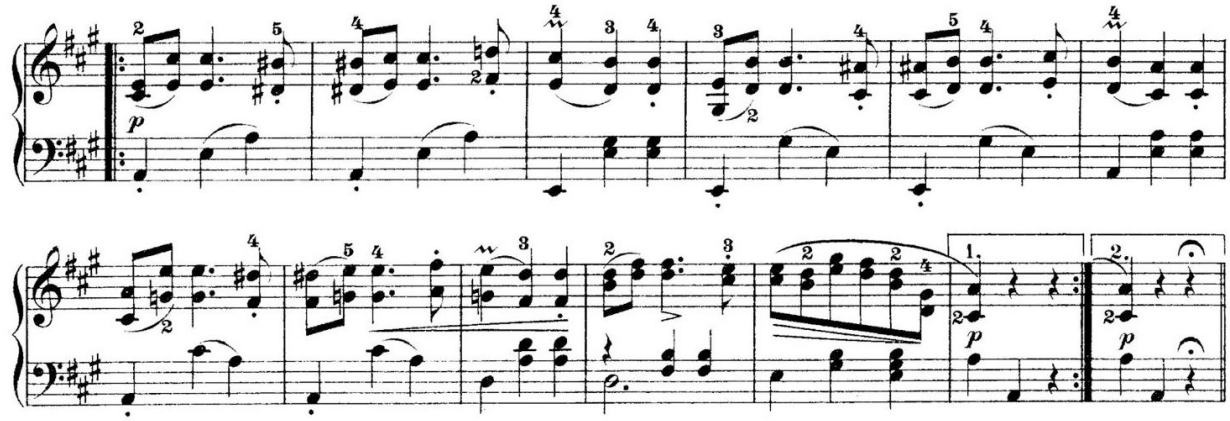


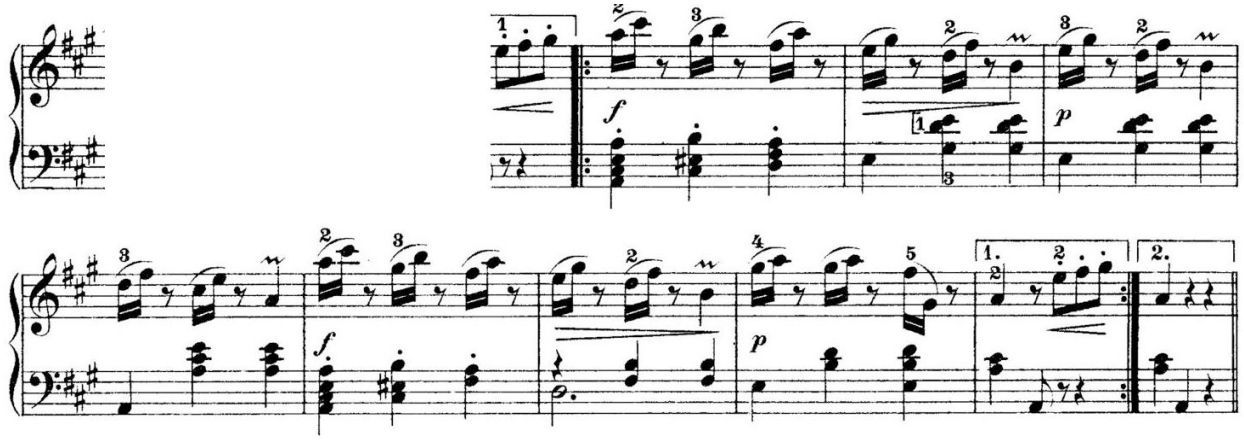
The device of a rising figure followed by a sudden drop in the penultimate bar, over V7 (or the cadential dominant figure) is common in the early waltz repertoire, and so—voice leading awkwardness aside—it is not at all surprising that Schumann would imitate it. Here are some examples:

Schubert, D 365n30:

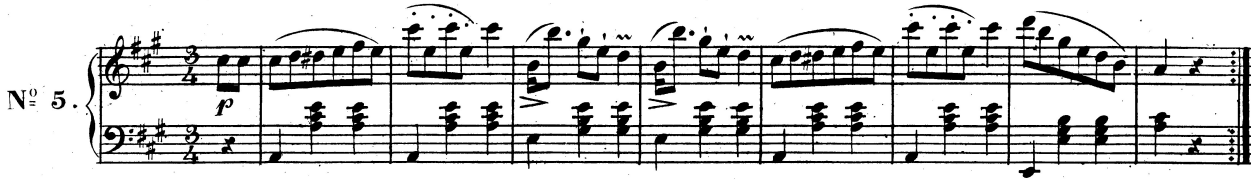


Lanner, Op. 165 n1, first and second strains:

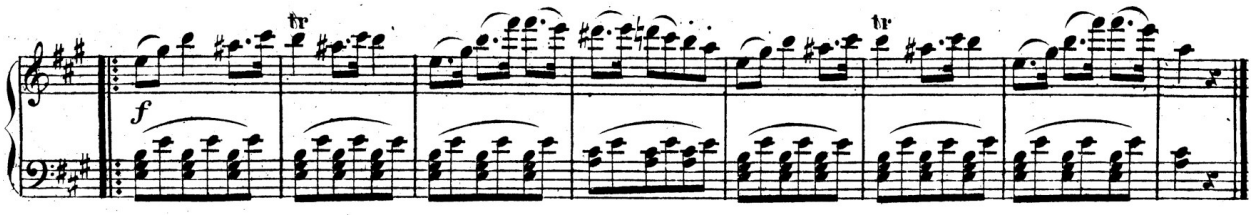




Johann Strauss, sr., Op. 15n5:



Johann Strauss, sr., Op 38n5:



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Neumeyer, David."The Ascending Urlinie," *Journal of Music Theory* 31/2 (1987).

Neumeyer, David. Analyses of Schubert, Waltz, D.779n13

This article gathers a large number of analyses of a single waltz by Franz Schubert: the anomalous A-major waltz, no. 13 in the Valses sentimentales, D 779. The goal is to make more vivid through examples a critical position that came to the fore in music theory during the course of the 1980s: a contrast between a widely accepted "diversity" standard and the closed, ideologically bound habits of descriptive and interpretative practice associated with classical pc-set analysis and Schenkerian analysis.

Neumeyer, David. Buelow Contredanses: Rising Lines

Bülow, court musician in Copenhagen in the late 18th century. This file surveys all seven collections (more than the article "Rising Lines in Tonal Frameworks of Traditional Tonal Music").

Neumeyer, David. Carl Schachter's Critique of the Rising Urlinie

A detailed critique of two articles by Carl Schachter (1994; 1996), this study is concerned with some specific issues in traditional Schenkerian theory, those connected with the rising Urlinie—these can be roughly summarized as the status of ^6 and the status of ^7. Sixteen of twenty three chapters in this file discuss Schachter's two articles directly, and the other seven chapters (2, 4, 5, 17-20) speak to underlying theoretical problems.

Neumeyer, David. Complex upper-voice cadential figures in traditional tonal music

Harmony and voice-leading are integrated in the hierarchical networks of Schenkerian analyses: the top (most abstract) level of the hierarchy is a fundamental structure that combines a single upper voice and a bass voice in counterpoint. A pattern that occurs with increasing frequency beginning in the later eighteenth century tends to confer equal status on two upper voices, one from ^5, the other from ^3. Analysis using such three-part voice leading in the background often provides richer, more complete, and more musically convincing analyses.

Neumeyer, David. John Playford Dancing Master: Rising Lines

Musical examples with rising cadence gestures from John Playford's *Dancing Master* (1651), extracted from the article "Rising Lines in Tonal Frameworks of Traditional Tonal Music."

Neumeyer, David. Kingsbury Hymns of Praise: Rising Lines

Pieces with rising cadence gestures in *Hymns of Praise: For the Church and Sunday School.* Compiled by F. G. Kingsbury. Chicago: Hope Publishing Co.,c1922. A hymn book from my father's collection. Because of their largely 19th c origins, it seemed reasonable to think that hymns in the evangelistic tradition would be more likely than older tunes to have rising

cadence gestures.

Neumeyer, David. Nineteenth-century polkas with rising melodic and cadence gestures: a new PDF essay

This essay provides background on dance in the nineteenth century and then focuses on characteristic figures in the polka, especially those linked to rising cadence gestures. The polka became a popular social dance very quickly in the early 1840s. Its music was the first to introduce rising melodic frames and cadence gestures as common features. This essay provides a series of examples with commentary. Most pieces come from the 1840s and early 1850s. Variants of the polka—polka-mazurka, polka française, and polka schnell—are also discussed and illustrated.

Neumeyer, David. On Ascending Cadence Gestures in Adolphe Adam's Le Châlet (1834).

Adolphe Adam's one-act opéra comique *Le Châlet* (1834) is a milestone in the history of rising cadence gestures and, as such (combined with its popularity), may have been a primary influence on other composers as rising cadence gestures proliferated in opera bouffe and both French and Viennese operetta later in the century, and eventually in the American musical during the twentieth century.

Neumeyer, David. Rising Lines in the Tonal Frameworks of Traditional Tonal Music

This article supplements, and provides a large amount of additional data for, an article I publisher nearly thirty years ago: "The Ascending Urlinie," *Journal of Music Theory* 31/2 (1987): 275-303. By Schenker's assertion, an abstract, top-level melody always descends by step to ^1. I demonstrated that at least one rising figure, ^5-^6-^7-^8, was not only possible but could be readily found in the repertory of traditional European tonal music.

Neumeyer, David. Scale Degree ^6 in the 19th Century: Ländler and Waltzes from Schubert to Herbert

Jeremy Day-O'Connell identifies three treatments of scale degree 6 in the major key through the 19th century: (1) classical ^6; (2) pastoral ^6; and (3) non-classical ^6. This essay makes further distinctions within these categories and documents them in the Ländler repertoire (roughly 1800-1850; especially Schubert) and in waltzes after 1850 (primarily the Strauss family). The final case study uses this information to explain some unusual dissonances in an operetta overture by Victor Herbert. Other composers include Michael Pamer, Josef Lanner, Theodor Lachner, Czerny, Brahms, Fauré, and Debussy.

Neumeyer, David. Table of Compositions with Rising Lines

A table that gathers more than 900 examples of musical compositions with cadences that use ascending melodic gestures.

Neumeyer, David. Tonal Frames in 18th and 19th Century Music

Tonal frames are understood here as schemata comprising the "a" level elements of a time-span or prolongation reduction in the system of Lerdahl and Jackendoff, *Generalized Theory of Tonal Music* (1983), as amended and extended by Lerdahl (*Tonal Pitch Space* (2001)). I use basic forms from these sources as a starting point but call them tonal frames in order to make a clear distinction, because I have a stricter view of the role of register.

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